

Please type a plus sign (+) inside this box ☐

Under the Paperwork Reduction Act of 1995, persons are required to respond to a collection of information that displays a valid OMB control number.

PTO/SB/05 (2/98)

Approved for use through 09/30/00. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 04983.0220.00US00/38-10(15494)A  
First Named Inventor or Application Identifier MCININCH  
Title Computational Nucleic Acid Coding and Feature Analysis  
Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

Commissioner for Patents  
**ADDRESS TO:** Box Patent Application  
Washington, DC 20231

1. ☒ \*Fee Transmittal Form (Form PTO-1082)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 84]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 11]
4. ☒ Oath or Declaration [Total Pages 2]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named  
in the prior application, see 37 CFR 1.63(d)(2) and  
1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy  
of the oath or declaration is supplied under Box 4b, is considered  
as being part of the disclosure of the accompanying application  
and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☒ Computer Readable Copy
- b. ☒ Paper Copy (identical to computer copy)
- c. ☒ Statement verifying identity of above  
copies

**ACCOMPANYING APPLICATION PARTS**

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☒ Power of  
(when there is an assignee) Attorney
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure ☒ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Two)  
(should be specifically itemized)
14. ☐ \*Small Entity ☐ Statement filed in  
Statement(s) prior application,  
Status still proper  
and desired
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other:

\*NOTE FOR ITEMS 1 & 14 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY  
FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF  
ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28)

**17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: /  
Prior Application Information: Examiner: Group/Art Unit:

**18. CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label 22930 or ☐ Correspondence address below  
(Insert Customer No. or Attach bar code label here)

NAME	David R. Marsh HOWREY SIMON ARNOLD & WHITE, LLP				
ADDRESS	Box No. 34 1299 Pennsylvania Avenue, N.W.				
CITY	Washington	STATE	DC	ZIP CODE	20004-2402
COUNTRY	US	TELEPHONE	202-783-0800	FAX	202-383-7195
Name (Print/Type)	David R. Marsh/Andrew S. Brenc			Registration No. (Attorney/Agent)	41,408/45,534
Signature				Date	October 30, 2000

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# HOWREY SIMON ARNOLD & WHITE, LLP

Box No. 34

1299 Pennsylvania Avenue, N.W.

Washington, D.C. 20004-2402

(202) 783-0800

Attorney Docket No. 04983.0220.00US00/38-10(15494)A



ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of

Inventors: James D. MCININCH

For: Computational Nucleic Acid Coding and Feature Analysis

Enclosed are:

- ☒ 11 sheets of informal drawings.
- ☐ An assignment of the invention to \_\_\_\_\_
- ☐ A certified copy of a \_\_\_\_\_ application.
- ☐ An associate power of attorney.
- ☐ A verified statement to establish small entity status under 37 CFR 1.9 and 37 CFR 1.27.
- ☒ Executed Combined Declaration and Power of Attorney for Patent Application.

The filing fee has been calculated as shown below:

(Col. 1)		(Col. 2)	SMALL ENTITY		OR	OTHER THAN A SMALL ENTITY	
FOR	NO. FILED	NO. EXTRA	RATE	FEE		RATE	FEE
BASIC FEE				\$ 355.00	OR		\$ 710.00
TOTAL CLAIMS	44 -20 =	24	x 9 =		OR	x 18 =	432.00
INDEP. CLAIMS	11 -3 =	8	x 40 =		OR	x 80 =	640.00
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED			+ 135 =		OR	+ 270 =	
			TOTAL		OR	TOTAL	\$1,782.00

\*If the difference in Col. 1 is less than zero, enter "0" in Col. 2

☐ Please charge my Deposit Account No. 08-3038 in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is attached.

☐ Please charge my American Express credit card in the amount of \$\_\_\_\_\_. A form PTO-2038, Credit Card Payment Form is attached in duplicate.

☒ A check in the amount of \$1,782.00 to cover the basic filing fee and excess claims fee is enclosed.

☒ The U.S. Patent and Trademark Office is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 08-3038 referencing docket number 04983.0220.00US00/38-10(15494)A. A duplicate copy of this sheet is attached.

☒ Any additional filing fees required under 37 CFR 1.16.

☒ Any patent application processing fees under 37 CFR 1.17.

☐ The U.S. Patent and Trademark Office is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 08-3038 referencing docket number \*. A duplicate copy of this sheet is enclosed.

☐ Any patent application processing fees under 37 CFR 1.17

☐ The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).

☐ Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Date October 30, 2000

David R. Marsh (Reg. No. 41,408)

Andrew S. Brenc (Reg. No. 45,534)

October 30, 2000

*Box Patent Application*

Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Non-Provisional Patent Application  
Appl. No. To be assigned; Filed: Herewith  
For: **Computational Nucleic Acid Coding and Feature Analysis**  
Inventor: James D. MCININCH  
Our Ref: 04983.0220.00US00/38-10(15494)A

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.  
Patent and Trademark Office:

1. Utility Patent Application Transmittal Form PTO/SB/05;
2. U.S. Utility Patent Application entitled:

**Computational Nucleic Acid Coding and Feature Analysis**

and naming as inventors: James D. MCININCH

the application consisting of:

- a. A specification containing:
  - (i) 64 pages of description prior to the claims;
  - (ii) 12 pages of claims (44 claims);
  - (iii) a one (1) page abstract;
- b. 11 sheets of drawings: (Figures 1-7, 8a-8d, 9a, 9b, and 10a-10c);
- c. Sequence listing comprising 7 pages;

Assistant Commissioner for Patents  
October 30, 2000  
Page 2

3. A computer readable copy of the sequence listing;
4. Statement Regarding Sequence Submission;
5. An original executed Combined Declaration and Power of Attorney;
6. Form PTO-1082 (in duplicate);
7. Information Disclosure Statement;
8. Form PTO-1449 (3 pages) with 7 attached documents;
9. Two (2) return postcards; and
10. Our check No. 339008 for \$1,782.00 to cover:

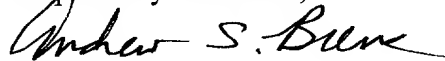
\$ 710.00 Filing fee for patent application; and  
\$ 1,072.00 Fee for excess claims.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other prepaid postcard be stamped with the filing date and unofficial application number and returned as soon as possible.

In accordance with 37 C.F.R. § 1.821(f), the paper copy of the sequence listing and the computer readable copy of the sequence listing submitted herewith in the above application are the same.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 08-3038 referencing docket number 04983.0220.00US00/38-10(15494)A. A duplicate copy of this letter is enclosed.

Respectfully submitted,



David R. Marsh (Reg. No. 41,408)  
Andrew S. Brenc (Reg. No. 45,534)

Enclosures

# Computational Nucleic Acid Coding and Feature Analysis

## Field of the Invention

The present invention is in the field of bioinformatics, particularly as it pertains to gene prediction. More specifically, the invention relates to the probabilistic analysis of nucleic acid sequences for the determination of coding features, including determination of state probabilities for each nucleotide in a nucleic acid sequence, determination of coding strand, determination of open reading frame extent, determination of insertion and deletion location, determination of exon location, and determination of protein sequence.

## Background of the Invention

Advances in techniques for sequencing long stretches of genomic deoxyribonucleic acid (DNA) have allowed investigators to collect vast nucleic acid sequence data rapidly. These advances, combined with initiatives to sequence the entire human genome and the genomes of several other species, have created a need for the rapid identification of genes on long stretches of sequenced DNA. Conventional gene location techniques, such as cDNA hybridization, are effective at locating transcribed genes, but are time-consuming and costly.

An alternative for locating genes on DNA that has not otherwise been analyzed for potential coding regions involves using statistical detection methods. Such methods conventionally include using probability models to predict where in a DNA sequence a gene is located. The theoretical nucleic acid sequence probabilities can be determined through analysis of known coding regions in the organism of interest. Once theoretical nucleic acid sequence probabilities are determined, nucleic acid sequences in unannotated regions of DNA in the same or a similar organism can be statistically compared to the theoretical nucleic acid sequence probabilities. If the similarity is sufficient, the investigator is notified that a coding sequence exists. Conventional cloning techniques can then be used to isolate the putative gene and check for transcription.

One type of statistical detection method searches DNA by content. In such content-based models, highly conserved regions of DNA that are common to all genes are located. If a conserved region of DNA is found, then the nucleic acid sequence associated with the conserved region can be compared with known genes. Such comparisons, which can be done with nucleic

acid sequence comparison programs such as BLAST, are inefficient to run, however, and content-based searches therefore have limited desirability.

A second type of statistical detection method searches DNA by signal. This type of searching involves using probability models to predict whether DNA fragments within a larger nucleic acid sequence are coding. Early searching by signal programs, such as TestCode and Grail, relied on statistical variations within coding regions of DNA, including codon frequency, local nucleic acid sequence composition, codon preference measures, heuristics based on oligonucleotide frequency variations, and measures of nucleic acid sequence complexity.

Beyond simple gene detection, there is also a need for the determination of other coding features, such as the location of intron/exon boundaries in eukaryotic organisms and the location of insertions or deletions. The program GENSCAN (Burge, C. and Karlin, S. (1997) Prediction of Complete Gene Structures in Human Genomic DNA. *J. Mol. Biol.* 268, 78-94), for example, predicts exon location with local state probabilities based on oligonucleotide usage. GENSCAN, however, also depends on non-local nucleic acid sequence characteristics, which make the program very sensitive to sequencing errors and genes containing alternative splicing strategies.

One statistical model that avoids the problems caused by dependence on non-local nucleic acid sequence characteristics is the inhomogeneous Markov model. An inhomogeneous Markov model depends upon local probabilities, and is not therefore sensitive to sequencing errors or genes with alternative splicing strategies. The inhomogeneous Markov model is "inhomogeneous" because it determines the state probabilities for a given nucleotide in multiple reading frames rather than in a single reading frame. GeneMark, for example, is a computer program that uses the inhomogeneous Markov model to locate genes.

The GeneMark gene prediction algorithm was developed in several steps. A series of three publications demonstrated that inhomogeneous Markov models were useful tools for gene prediction (see Borodovsky, M., Sprizhitsky Yu., Golovanov E. and Alexandrov A. (1986) *Statistical Patterns in Primary Structures of Functional Regions in the E. Coli Genome: I. Oligonucleotide Frequencies Analysis*, Molecular Biology, 20, 826-833, Borodovsky, M., Sprizhitsky Yu., Golovanov E. and Alexandrov A. (1986) *Statistical Patterns in Primary Structures of Functional Regions in the E. Coli Genome: II. Non-homogeneous Markov Models*, Molecular Biology, 20, 833-840, Borodovsky, M., Sprizhitsky Yu., Golovanov E. and

Alexandrov A. (1986) *Statistical Patterns in Primary Structures of Functional Regions in the E. Coli Genome: III. Computer Recognition of Coding Regions*, Molecular Biology, 20, 1145-1150, all of which are herein incorporated by reference in their entirety). The GeneMark method was based on an inhomogeneous Markov model and was described in 1993 (see Borodovsky, M. and McIninch J. (1993) GeneMark, *Parallel Gene Recognition for both DNA Strands*, Computers & Chemistry, 17, 123-133, and Borodovsky, M. and McIninch J. (1993) BioSystems v30, pp. 161-171, both of which are herein incorporated by reference in their entirety). The capabilities of the GeneMark program were subsequently investigated (see James D. McIninch, *Prediction of Protein Coding Regions in Unannotated DNA sequences Using an Inhomogeneous Markov Model of Genetic Information Encoding* (1997) (Ph.D. dissertation, Georgia Institute of Technology, on file with the Georgia Institute of Technology Library, which is herein incorporated by reference in its entirety).

Conventional programs using inhomogeneous Markov models, however, are limited to a defined probabilistic model for determining probability, and cannot be tailored by the investigator to better suit the nucleic acid sequence under study if information about that nucleic acid sequence is already available. Further, conventional implementations do not allow for the efficient and accurate detection of other nucleic acid sequence features.

What is needed in the art is a method of determining state probabilities for a nucleic acid sequence having some known characteristics, where the method is insensitive to frameshift insertions or deletions, and compatible methods for detecting other nucleic acid sequence features in known or unknown nucleic acid sequences.

### **Summary Of The Invention**

The present invention relates to the probabilistic analysis of nucleic acid sequences for the determination of coding features, including determination of state probabilities for each nucleotide in a nucleic acid sequence, determination of coding strand, determination of open reading frame extent, determination of insertion and deletion location, determination of exon location, and determination of protein sequence. Described herein are methods, devices, and systems for analyzing the information content in nucleic acids.

The present invention includes and provides a method for determining a probability for one or more states for a nucleotide in a nucleic acid sequence, comprising: a) determining an initial oligonucleotide probability for each of the states for an initial oligonucleotide in the nucleic acid sequence; b) determining transition probabilities for each of the states for nucleotides within the nucleic acid sequence following the initial oligonucleotide; c) determining a probability for the nucleic acid sequence for each of the states; and, d) determining a probability for each of the states for the nucleotide based upon the probability of the nucleic acid sequence and a bias.

The present invention includes and provides a method for determining a probability for one or more states for a nucleotide in a nucleic acid sequence, comprising: a) determining an initial oligonucleotide probability for each of the states for an initial oligonucleotide in the nucleic acid sequence; b) determining transition probabilities for each of the states for nucleotides within the nucleic acid sequence following the initial oligonucleotide; c) determining a probability for the nucleic acid sequence for each of the states; and, d) determining a probability for each of the states for the nucleotide based upon the probability of the nucleic acid sequence, wherein the determining a probability for each of the states is capable of accepting a bias.

The present invention includes and provides a method for determining a probability for each of one or more states for more than one nucleotide in a nucleic acid sequence comprising: a) determining an initial oligonucleotide probability for each of the states for an initial oligonucleotide in a window of a first nucleotide; b) determining transition probabilities for each of the states for nucleotides within the window following the initial oligonucleotide; c) determining a probability for the window for each of the states; d) determining a probability for each of the states for the nucleotide based upon the probability for the window and a bias; and, e) repeating steps a) through d) for each remaining nucleotide in the nucleic acid sequence.

The present invention includes and provides a method for determining strand coding of a nucleic acid sequence based upon a bias, comprising: a) determining a probability of each of one or more states for each nucleotide in the nucleic acid sequence, wherein each of the states is either a positive strand state or a negative strand state; b) summing the probabilities of the positive strand states for each of the nucleotides to produce a sum of probabilities for positive



states; c) summing the probabilities of the negative strand states for each of the nucleotides to produce a sum of probabilities for negative states; and, d) deciding one of i) coding is mixed or not detectable if a first function of the sum of probabilities for positive states and the sum of probabilities for negative states is less than a threshold value; ii) coding is on the positive strand if a second function of the sum of probabilities for positive states is greater than a third function of the sum of probabilities for negative states and the first function is not less than the threshold value; and iii) coding is on the negative strand if the second function of the sum of probabilities for positive states is not greater than the third function of the sum of probabilities for negative states and the first function is not less than the threshold value.

The present invention includes and provides a method for determining the extent of an open reading frame within a nucleic acid sequence based upon a bias, comprising: a) determining the probability of each of one or more states for each nucleotide in the nucleic acid sequence, wherein each of the states is either a coding state or a noncoding state; b) determining the coding strand of the nucleic acid sequence; and, c) determining the points within the nucleic acid sequence in the coding strand at which the sum of the probabilities of the coding states for each nucleotide drops below a first threshold value for a number of nucleotides greater than a second threshold value, wherein ends of the open reading frame are indicated at the points.

The present invention includes and provides a method for determining the location of insertions and deletions within a nucleic acid sequence, comprising: a) determining the probability of each of one or more states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or a noncoding state; b) setting a length for a window; c) determining which state has a maximum mean probability for the nucleic acid sequence on a first side of a middle nucleotide in the window, wherein the window begins at a first nucleotide; d) determining which state has a maximum mean probability for the nucleic acid sequence on a second side of the middle nucleotide in the window; e) determining that a deletion or insertion occurred at the middle nucleotide if i) the state with the maximum mean probability on the first side of the middle nucleotide is different from the state with the maximum mean probability on the second side of middle nucleotide, and ii) either an average of hypothetical state probabilities for the window with an insertion at the middle nucleotide or an average of hypothetical state probabilities for the window with a deletion at the middle

nucleotide is greater than a sum of the middle nucleotide's coding states probabilities; and, f) repeating steps c) through e) for each remaining nucleotide in the nucleic acid sequence after the first nucleotide, wherein the window begins at each remaining nucleotide in turn.

The present invention includes and provides a method for determining exon location within a nucleic acid sequence, comprising a) determining the probability of each of one or more states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or noncoding state; b) determining the coding strand of the nucleic acid sequence; c) determining the extent of an open reading frame within the nucleic acid sequence; d) classifying each nucleotide in a coding class or a noncoding class based on a most probable state for the coding strand; e) reclassifying each nucleotide according to defined rules; and, f) determining that regions of the nucleic acid sequence in the coding class are exons.

The present invention includes and provides a program storage device readable by a machine, tangibly embodying a program of instructions executable by a machine to perform method steps to determine a probability for each of one or more states for a nucleotide in a nucleic acid sequence, the method steps comprising: a) determining an initial oligonucleotide probability for each of the states for an initial oligonucleotide in the nucleic acid sequence; b) determining transition probabilities for each of the states for nucleotides within the nucleic acid sequence following the initial oligonucleotide; c) determining a probability for the nucleic acid sequence for each of the states; and, d) determining a probability for each of the states for the nucleotide based upon the probability of the nucleic acid sequence and a bias.

The present invention includes and provides a program storage device readable by a machine, tangibly embodying a program of instructions executable by a machine to perform method steps to determine a probability for one or more states for more than one nucleotide in a nucleic acid sequence, the method steps comprising: a) determining an initial oligonucleotide probability for each of the states for an initial oligonucleotide in a window of a first nucleotide; b) determining transition probabilities for each of the states for nucleotides within the window following the initial oligonucleotide; c) determining a probability for the window for each of the states; d) determining a probability for each of the states for the nucleotide based upon the probability for the window and a bias; and, e) repeating steps a) through d) for each remaining nucleotide in the nucleic acid sequence.

10 The present invention includes and provides a program storage device readable by a machine, tangibly embodying a program of instructions executable by a machine to perform method steps to determine strand coding of a nucleic acid sequence, the method steps comprising: a) determining a probability of each of one or more states for each nucleotide in the  
5 nucleic acid sequence based upon a bias, wherein each of the states is either a positive strand state or a negative strand state; b) summing the probabilities of the positive strand states for each of the nucleotides to produce a sum of probabilities for positive states; c) summing the probabilities of the negative strand states for each of the nucleotides to produce a sum of probabilities for negative states; and, d) deciding one of i) coding is mixed or not detectable if a first function of the sum of probabilities for positive states and the sum of probabilities for negative states is less than a threshold value; ii) coding is on the positive strand if a second function of the sum of probabilities for positive states is greater than a third function of the sum of probabilities for negative states and the first function is not less than the threshold value; and iii) coding is on the negative strand if the second function of the sum of probabilities for positive states is not greater than the third function of the sum of probabilities for negative states and the first function is not less than the threshold value.

15 The present invention includes and provides a program storage device readable by a machine, tangibly embodying a program of instructions executable by a machine to perform method steps to determine the extent of an open reading frame within a nucleic acid sequence, the method steps comprising: a) determining the probability of each of one or more states for  
20 each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or a noncoding state; b) determining the coding strand of the nucleic acid sequence; and, c) determining the points within the nucleic acid sequence in the coding strand at which the sum of the probabilities of the coding states for each nucleotide drops below a first  
25 threshold value for a number of nucleotides greater than a second threshold value, wherein ends of the open reading frame are indicated at the points.

30 The present invention includes and provides a program storage device readable by a machine, tangibly embodying a program of instructions executable by a machine to perform method steps to determine the location of insertions and deletions within a nucleic acid sequence, the method steps comprising: a) determining the probability of each of one or more states for

each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or a noncoding state; b) setting a length for a window; c) determining which state has a maximum mean probability for the nucleic acid sequence on a first side of a middle nucleotide in the window, wherein the window begins at a first nucleotide; d) determining which state has a maximum mean probability for the nucleic acid sequence on a second side of the middle nucleotide in the window; e) determining that a deletion or insertion occurred at the middle nucleotide if i) the state with the maximum mean probability on the first side of the middle nucleotide is different from the state with the maximum mean probability on the second side of middle nucleotide, and ii) either an average of hypothetical state probabilities for the window with an insertion at the middle nucleotide or an average of hypothetical state probabilities for the window with a deletion at the middle nucleotide is greater than a sum of the middle nucleotide's coding states probabilities; and, f) repeating steps c) through e) for each remaining nucleotide in the nucleic acid sequence after the first nucleotide, wherein the window begins at each remaining nucleotide in turn.

The present invention includes and provides a program storage device readable by a machine, tangibly embodying a program of instructions executable by a machine to perform method steps to determine exon location within a nucleic acid sequence, the method steps comprising: a) determining the probability of each of one or more states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or noncoding state; b) determining the coding strand of the nucleic acid sequence; c) determining the extent of an open reading frame within the nucleic acid sequence; d) classifying each nucleotide in a coding class or a noncoding class based on a most probable state for the coding strand; e) reclassifying each nucleotide according to defined rules; and, f) determining that regions of the nucleic acid sequence in the coding class are exons.

The present invention includes and provides a computer system for determining a probability for each of one or more states for a nucleotide in a nucleic acid sequence, comprising: an input device for inputting the nucleic acid sequence; a memory for storing the nucleic acid sequence; a processing unit configured for retrieving the nucleic acid sequence and for: a) determining an initial oligonucleotide probability for each of the states for an initial oligonucleotide in the nucleic acid sequence; b) determining transition probabilities for each of

the states for nucleotides within the nucleic acid sequence following the initial oligonucleotide;  
c) determining a probability for the nucleic acid sequence for each of the states; and, d)  
determining a probability for each of the states for the nucleotide based upon the probability of  
the nucleic acid sequence and a bias.

5 The present invention includes and provides a computer system for determining a  
probability for each of one or more states for more than one nucleotide in a nucleic acid  
sequence, comprising: an input device for inputting the nucleic acid sequence; a memory for  
storing the nucleic acid sequence; a processing unit configured for retrieving the nucleic acid  
sequence and for: a) determining an initial oligonucleotide probability for each of the states for  
10 an initial oligonucleotide in a window of a first nucleotide; b) determining transition probabilities  
for each of the states for nucleotides within the window following the initial oligonucleotide; c)  
determining a probability for the window for each of the states; d) determining a probability for  
each of the states for the nucleotide based upon the probability for the window and a bias; and, e)  
repeating steps a) through d) for each remaining nucleotide in the nucleic acid sequence.

15 The present invention includes and provides a computer system for determining strand  
coding of a nucleic acid sequence, comprising: an input device for inputting the nucleic acid  
sequence; a memory for storing the nucleic acid sequence; a processing unit configured for  
retrieving the nucleic acid sequence and for: a) determining a probability of each of one or more  
states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the  
20 states is either a positive strand state or a negative strand state; b) summing the probabilities of  
the positive strand states for each of the nucleotides to produce a sum of probabilities for positive  
states; c) summing the probabilities of the negative strand states for each of the nucleotides to  
produce a sum of probabilities for negative states; and, d) deciding one of i) coding is mixed or  
not detectable if a first function of the sum of probabilities for positive states and the sum of  
25 probabilities for negative states is less than a threshold value; ii) coding is on the positive strand  
if a second function of the sum of probabilities for positive states is greater than a third function  
of the sum of probabilities for negative states and the first function is not less than the threshold  
value; and iii) coding is on the negative strand if the second function of the sum of probabilities  
for positive states is not greater than the third function of the sum of probabilities for negative  
30 states and the first function is not less than the threshold value.

The present invention includes and provides a computer system for determining the extent of an open reading frame within a nucleic acid sequence, comprising: an input device for inputting a nucleic acid sequence; a memory for storing the nucleic acid sequence; a processing unit configured for retrieving the nucleic acid sequence and for: a) determining the probability of each of one or more states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or a noncoding state; b) determining the coding strand of the nucleic acid sequence; and, c) determining the points within the nucleic acid sequence in the coding strand at which the sum of the probabilities of the coding states for each nucleotide drops below a first threshold value for a number of nucleotides greater than a second threshold value, wherein ends of the open reading frame are indicated at the points.

The present invention includes and provides a computer system for determining the location of insertions and deletions within a nucleic acid sequence, comprising: an input device for inputting a nucleic acid sequence; a memory for storing the nucleic acid sequence; a processing unit configured for retrieving the nucleic acid sequence and for: a) determining the probability of each of one or more states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or a noncoding state; b) setting a length for a window; c) determining which state has a maximum mean probability for the nucleic acid sequence on a first side of a middle nucleotide in the window, wherein the window begins at a first nucleotide; d) determining which state has a maximum mean probability for the nucleic acid sequence on a second side of the middle nucleotide in the window; e) determining that a deletion or insertion occurred at the middle nucleotide if i) the state with the maximum mean probability on the first side of the middle nucleotide is different from the state with the maximum mean probability on the second side of middle nucleotide, and ii) either an average of hypothetical state probabilities for the window with an insertion at the middle nucleotide or an average of hypothetical state probabilities for the window with a deletion at the middle nucleotide is greater than a sum of the middle nucleotide's coding states probabilities; and, f) repeating steps c) through e) for each remaining nucleotide in the nucleic acid sequence after the first nucleotide, wherein the window begins at each remaining nucleotide in turn.

The present invention includes and provides a computer system for determining exon location within a nucleic acid sequence, comprising: an input device for inputting a nucleic acid

sequence; a memory for storing the nucleic acid sequence; a processing unit configured for retrieving the nucleic acid sequence and for: a) determining the probability of each of one or more states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or noncoding state; b) determining the coding strand of the nucleic acid sequence; c) determining the extent of an open reading frame within the nucleic acid sequence; d) classifying each nucleotide in a coding class or a noncoding class based on a most probable state for the coding strand; e) reclassifying each nucleotide according to defined rules; and, f) determining that regions of the nucleic acid sequence in the coding class are exons.

The present invention includes and provides a computer program product comprising a computer usable medium having computer program logic recorded thereon for enabling a processor in a computer system to determine a probability for each of one or more states for a nucleotide in a nucleic acid sequence, the computer program logic comprising means for enabling the processor to perform each of the following steps: a) determining an initial oligonucleotide probability for each of the states for an initial oligonucleotide in the nucleic acid sequence; b) determining transition probabilities for each of the states for nucleotides within the nucleic acid sequence following the initial oligonucleotide; c) determining a probability for the nucleic acid sequence for each of the states; and, d) determining a probability for each of the states for the nucleotide based upon the probability of the nucleic acid sequence and a bias.

The present invention includes and provides a computer program product comprising a computer usable medium having computer program logic recorded thereon for enabling a processor in a computer system to determine a probability for each of one or more states for more than one nucleotide in a nucleic acid sequence, the computer program logic comprising means for enabling the processor to perform each of the following steps: a) determining an initial oligonucleotide probability for each of the states for an initial oligonucleotide in a window of a first nucleotide; b) determining transition probabilities for each of the states for nucleotides within the window following the initial oligonucleotide; c) determining a probability for the window for each of the states; d) determining a probability for each of the states for the nucleotide based upon the probability for the window and a bias; and, e) repeating steps a) through d) for each remaining nucleotide in the nucleic acid sequence.

The present invention includes and provides a computer program product comprising a computer usable medium having computer program logic recorded thereon for enabling a processor in a computer system to determine strand coding of a nucleic acid sequence, the computer program logic comprising means for enabling the processor to perform each of the following steps: a) determining a probability of each of one or more states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a positive strand state or a negative strand state; b) summing the probabilities of the positive strand states for each of the nucleotides to produce a sum of probabilities for positive states; c) summing the probabilities of the negative strand states for each of the nucleotides to produce a sum of probabilities for negative states; and, d) deciding one of i) coding is mixed or not detectable if a first function of the sum of probabilities for positive states and the sum of probabilities for negative states is less than a threshold value; ii) coding is on the positive strand if a second function of the sum of probabilities for positive states is greater than a third function of the sum of probabilities for negative states and the first function is not less than the threshold value; and iii) coding is on the negative strand if the second function of the sum of probabilities for positive states is not greater than the third function of the sum of probabilities for negative states and the first function is not less than the threshold value.

The present invention includes and provides a computer program product comprising a computer usable medium having computer program logic recorded thereon for enabling a processor in a computer system to determine the extent of an open reading frame within a nucleic acid sequence, the computer program logic comprising means for enabling the processor to perform each of the following steps: a) determining the probability of each of one or more states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or a noncoding state; b) determining the coding strand of the nucleic acid sequence; and, c) determining the points within the nucleic acid sequence in the coding strand at which the sum of the probabilities of the coding states for each nucleotide drops below a first threshold value for a number of nucleotides greater than a second threshold value, wherein ends of the open reading frame are indicated at the points.

The present invention includes and provides a computer program product comprising a computer usable medium having computer program logic recorded thereon for enabling a



processor in a computer system to determine the location of insertions and deletions within a nucleic acid sequence, the computer program logic comprising means for enabling the processor to perform each of the following steps: a) determining the probability of each of one or more states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or a noncoding state; b) setting a length for a window; c) determining which state has a maximum mean probability for the nucleic acid sequence on a first side of a middle nucleotide in the window, wherein the window begins at a first nucleotide; d) determining which state has a maximum mean probability for the nucleic acid sequence on a second side of the middle nucleotide in the window; e) determining that a deletion or insertion occurred at the middle nucleotide if i) the state with the maximum mean probability on the first side of the middle nucleotide is different from the state with the maximum mean probability on the second side of middle nucleotide, and ii) either an average of hypothetical state probabilities for the window with an insertion at the middle nucleotide or an average of hypothetical state probabilities for the window with a deletion at the middle nucleotide is greater than a sum of the middle nucleotide's coding states probabilities; and, f) repeating steps c) through e) for each remaining nucleotide in the nucleic acid sequence after the first nucleotide, wherein the window begins at each remaining nucleotide in turn.

The present invention includes and provides a computer program product comprising a computer usable medium having computer program logic recorded thereon for enabling a processor in a computer system to determine exon location within a nucleic acid sequence, the computer program logic comprising means for enabling the processor to perform each of the following steps: a) determining the probability of each of one or more states for each nucleotide in the nucleic acid sequence based upon a bias, wherein each of the states is either a coding state or noncoding state; b) determining the coding strand of the nucleic acid sequence; c) determining the extent of an open reading frame within the nucleic acid sequence; d) classifying each nucleotide in a coding class or a noncoding class based on a most probable state for the coding strand; e) reclassifying each nucleotide according to defined rules; and, f) determining that regions of the nucleic acid sequence in the coding class are exons.

The present invention includes and provides a method for determining a probability for one or more states for a nucleotide in a nucleic acid sequence, comprising determining a

probability for each of the states for the nucleotide based upon a probability of the nucleic acid sequence and a bias.

The present invention includes and provides a method for determining a probability for each of one or more states for more than one nucleotide in a nucleic acid sequence comprising: a) determining a probability for each of the states for a first nucleotide in the nucleic acid sequence based upon a probability of a window in which the first nucleotide is located and a bias; and, b) repeating step a) for the remaining nucleotides in the nucleic acid sequence.

### **Description Of The Figures**

Figure 1 is a flow chart representing one embodiment of a method for determining the probability of each of the possible states for a single nucleotide in a nucleic acid sequence;

Figure 2 is a flow chart representing one embodiment of a method for determining the probability of each of the possible states for a multiple nucleotides in a nucleic acid sequence;

Figure 3 is a flow chart representing one embodiment of a method for determining the coding strand of a nucleic acid sequence;

Figure 4 is a flow chart representing one embodiment of a method for determining the extent of an open reading frame within a nucleic acid sequence;

Figure 5 is a flow chart representing one embodiment of a method for determining the location of insertions and deletions within a nucleic acid sequence;

Figure 6 is a flow chart representing one embodiment of a method for determining the extent of exons within a nucleic acid sequence and the protein translation of those exons;

Figure 7 is a flow chart representing one embodiment of a method for determining the extent of exons within a nucleic acid sequence and the protein translation of those exons;

Figure 8a is a schematic representation of a window located at the end of a nucleic acid sequence;

Figure 8b is a schematic representation of a window located at the end of a nucleic acid sequence showing nucleotides near the end of the nucleic acid sequence;

Figure 8c is a schematic representation showing the ends of a nucleic acid sequence being copied to form a hypothetical extension on each end of the nucleic acid sequence;

Figure 8d is a schematic representation of a nucleic acid sequence showing the appended hypothetical extensions;

Figure 9a is a schematic representation of one embodiment of a computer system that can implement the methods of the present invention;

Figure 9b is a schematic representation of one embodiment of a computer system that can implement the methods of the present invention;

Figure 10a is a schematic representation of a genomic sequence of DNA with an aligned expressed sequence tag aligned thereto;

Figure 10b is a schematic representation of a window in a region of DNA when the entire region is in a known coding region; and,

Figure 10c is a schematic representation of a window in a region of DNA when part of the region is known to be coding, and part of the region is known to be noncoding.

### **Detailed Description Of The Invention**

Described herein are methods for determining the state probabilities of one or more nucleotides in a nucleic acid sequence, the coding strand of a nucleic acid sequence, the extent of an open reading frame in a nucleic acid sequence, the location of deletions and insertions in a nucleic acid sequence, the location of exons in a nucleic acid sequence, and the translation of those exons. Also described are program storage devices readable by a machine, tangibly embodying a program of instructions executable by a machine to perform the above methods. Also described are computer systems for implementing the above methods, comprising an input device for inputting a nucleic acid sequence, a memory for storing the nucleic acid sequence, and a processing unit. Also described are computer program products comprising a computer usable medium having computer program logic recorded thereon for enabling a processor in a computer system to perform the above methods.

#### ***Definitions:***

Nucleic Acid Sequence - As used herein, "nucleic acid sequence" includes a nucleic acid sequence of any nucleic acid as is generally understood in the art. The nucleic acid can be DNA, cDNA, genomic DNA, raw DNA, expressed nucleic acid sequence tags (ESTs), RNA, mRNA,

unprocessed RNA, processed RNA, or any other form of nucleic acid, regardless of whether or not the nucleic acid actually codes for a protein.

Nucleic acid sequences can be derived from any natural or artificial source, including prokaryotic and eukaryotic organisms, and can be at any stage of processing.

5 It is understood by those skilled in the art that any representation of a nucleic acid sequence is contemplated herein and within the scope of the present invention. That is, while conventionally nucleic acid sequences are represented by the nucleotide or base letters A, T, G, C, U, any alphanumeric or other representation of nucleotide or base nucleic acid sequence, whether digitally represented or otherwise, is within the scope of this invention. Further, nucleic acid sequence notation indicating uncertainty with respect to the identification of one or more bases in a nucleic acid sequence, for example IUB nomenclature such as R=G and A, Y=T and C, etc., can be incorporated into the method described herein and is within the scope of this invention.

10 Nucleic acid sequences having modified or non-standard bases can be incorporated into the method described herein and are within the scope of this invention. For the purposes of this invention, a nucleic acid sequence of "bases" is an equivalent nucleic acid sequence to the nucleic acid sequence in which the bases are found.

15 Reading frame – A “reading frame” is one of the possible phases in which one can read a sequence of codons (groups of three nucleotides) that can make up a coding region of DNA or RNA. In a codon the positions in 5’ to 3’ order are called the “first”, “second”, and “third” reading frames.

20 States - The “states” attributable to a nucleotide are the potential permutations of all of the possible reading frames and the two nucleic acid strands included in the probability model being used. A “+” is used to indicate the positive strand, and “-” to indicate the reverse complement DNA strand. In a preferred embodiment, the possible states of any one nucleotide are positive strand first reading frame (1+), positive strand second reading frame (2+), positive strand third reading frame (3+), negative strand first reading frame (1-), negative strand second reading frame (2-), negative strand third reading frame (3-), positive strand noncoding (N+), and negative

strand noncoding (N-). In another embodiment, the states can be, for example, just the four positive states listed above. Stated symbolically, "f" is an element in the set of states, i.e.  $f \in \{1+, 2+, 3+, N+, 1-, 2-, 3-, N-\}$ .

- 5 Coding State - A "coding state" is any of the states 1+, 2+, 3+, 1-, 2-, or 3-, which indicate coding, i.e. nucleic acids translated into protein.

Noncoding state - A "noncoding state" is either of the states N- or N+, both of which indicate noncoding, i.e. no protein translation.

Sequentially - "Sequentially" means performing a step or series of steps on nucleotides in order as the nucleotides occur in the nucleic acid sequence, in either direction.

State probabilities - The "state probabilities" of a nucleotide within a nucleic acid sequence are a vector of probabilities associated with the given nucleotide being in each of the states.

Window - A "window" is a contiguous and defined number of nucleotides within a nucleic acid sequence. For example, in a nucleic acid sequence having a length of several thousand nucleotides, a window of, again for example, 100 nucleotides can be defined for specific analysis at any place within the larger nucleic acid sequence.

Middle Nucleotide - The "middle nucleotide" in any given nucleic acid sequence or window is the nucleotide found at the numerical middle of the nucleic acid sequence or window, respectively, wherein the length of a nucleic acid sequence or window is the total number of nucleotides in the nucleic acid sequence or window. If the nucleic acid sequence or window has an even number of nucleotides, then the middle nucleotide can be either of the two nucleotides adjacent the numerical middle of the nucleic acid sequence or window. For example, the middle nucleotide in a 101 nucleotide long window is nucleotide number 51, and the middle nucleotide in a 100 nucleotide long window can be either nucleotide number 50 or nucleotide number 51.

Oligonucleotide - An "oligonucleotide" is a series of contiguous nucleotides with a defined length.

Initial Oligonucleotide - The "initial oligonucleotide" is the oligonucleotide that occurs at the beginning of the nucleic acid sequence or window being examined. Therefore, the first nucleotide in the initial oligonucleotide is also the first nucleotide in the sequence or window.

Transition Probability - A "transition probability" for a given nucleotide is the probability of the nucleotide occurring given the oligonucleotide immediately preceding that nucleotide.

Bias Function - The "Bias Function" is a function that is used to differentially alter the probability of one or more states of one or more nucleotides in a nucleic acid sequence. For example, if a region of the nucleic acid sequence under study is thought to be a coding region, then the bias function can be used to increase the calculated probability of the coding states for that nucleic acid sequence.

Bias - "Bias" is a set of one or more values that are used in the Bias Function, and is used to alter the probability of one or more states of one or more nucleotides in a nucleic acid sequence.

Filter - A "filter" as used herein is any method or algorithm for unifying and making more homogeneous regions of a nucleic acid sequence that have been classified in disparate states. A filter is used for the purpose of more clearly defining coding region boundaries in a nucleic acid sequence. In a method, a step in which a filter is applied is a "filtering step."

Class - A "class" of nucleotides is a group of nucleotides that are designated as having one state for the purposes of filtering.

Positive Strand and Negative Strand - The terms "positive strand (+)" and "negative strand (-)" represent complementary nucleic acid sequences. The sequence in one strand is defined by the sequence in the complementary strand.

Positive Strand State - A "positive strand state" is any of states 1+, 2+, 3+, N+.

Negative Strand State - A "negative strand state" is any of states 1-, 2-, 3-, N-.

5

### **Description**

The methods described herein can be performed in any manner that allows for the analysis of the nucleic acid sequence under study and computation of the probabilities associated with that nucleic acid sequence. In a preferred embodiment, the physical nucleic acid sequence, for example a DNA sequence having a contiguous nucleic acid sequence of G, C, T, and A nucleotides, is converted into digital form by, for example, inputting the nucleic acid sequence into a computer system. The computer then processes the nucleic acid sequence using the methods described herein. Any nucleic acid sequence referred to herein can be arranged to have a beginning and an end, and numbered so that the first nucleotide in the nucleic acid sequence is number 1, the next nucleotide in the nucleic acid sequence is number 2, and so on until the end of the nucleic acid sequence. Any other numbering scheme that is useful can be used.

The methods shown in Figures 1-7 are independent, and, although several of the methods described can be utilized together, they can each be performed as independent methods. Further, where one method calls for a step in which one of the other methods can be used for that step, the use of the other method in the step represents only one embodiment, and other methods for performing the step can be used as well.

Any probability model applicable to nucleic acid sequence state probabilities can be used for the probability steps if the output of the probability model sufficiently supports the method, including inhomogeneous Markov models that have fewer than eight states, for example, those having only six or four states. In a preferred embodiment, the inhomogeneous Markov model has eight states. (For a general discussion of various models, see Durbin, et al., Biological Sequence Analysis (1998), which is herein incorporated by reference in its entirety).

Any nucleic acid sequence source can be used, regardless of the accuracy of the nucleic acid sequence relative to the physical molecule it represents, including raw nucleic acid sequence data and nucleic acid sequence data that has been changed or adjusted for other purposes, such as

nucleic acid sequences that have been filtered to improve accuracy, nucleic acid sequences that have been altered to account for known mutations, and nucleic acid sequences that have been engineered in any manner whatsoever, among others. Nucleic acid sequence information produced by automated nucleic acid sequencers can be used, as well as nucleic acid sequence information derived by any conventional sequencing technique, such as dideoxy sequencing, among others. Nucleic acid sequences produced by or from other bioinformatic processing methods or nucleic acid databases can be used, for example, including nucleic acid sequences stored in public access databases such as GenBank. Although nucleic acid sequences with any amount of error can be used, in a preferred embodiment the amount of sequencing error present is less than about 15%, and more preferably is less than about 10%. However, an advantage of the methods of the present invention is that they can utilize lower quality nucleic acid sequences. In this embodiment, the methods of the present invention can utilize nucleic acid sequences where the average sequence accuracy is less than 99%, more preferably less than 95%, more preferably less than 90, 80, or 70%.

The present invention includes the incorporation of bias into probability models that determine state probabilities for one or more nucleotides. The bias is used to alter the statistical probability of one or more states for a nucleotide. A bias of zero, for example, will reduce the probability of a state to zero, while a bias of one will not alter the statistical probability. Values greater than one will increase the statistical probability of a state, while values between zero and one will reduce the statistical probability of a state. Bias can be defined by the investigator in order to influence the probability of states. In a preferred embodiment, bias is defined to alter the probability of states in a manner consistent with existing knowledge of the nucleic acid sequence under study. For example, if a nucleic acid sequence has a region that is strongly suspected to be coding, then the nucleotides in that region can be assigned a large bias for the coding states, and a small bias for the noncoding states. Bias can be incorporated into any conventional statistical model that provides a method for determining state probabilities in order to allow for the biasing of statistical probabilities in that model. In one embodiment, bias can be defined for each state as a number equal to or greater than zero, excluding 1. In this embodiment, the statistical probability of a state will be reduced if the bias is set to a number equal to or greater than zero and less than one, and increased if the bias is set to a number greater than one, and all states are



biases in one direction or the other. In another embodiment, bias can be defined as one for one or more states, and a number other than one for one or more states. In this embodiment, one or more states has a defined bias of one, which results in no biasing of the probability of that state, while one or more states have a defined value equal to or greater than zero, excluding one. In this embodiment, one or more states are biased, and one or more states are not. In a preferred embodiment, the bias is between 0.0 and 0.9 or greater than 1.1.

Figure 1 represents one embodiment of the method of the present invention for determining the state probabilities of a single nucleotide within a nucleic acid sequence. The nucleotide for which the state probabilities are determined can be any nucleotide in the nucleic acid sequence, preferably is a nucleotide close to the middle of the sequence, and in a preferred embodiment the nucleotide is the middle nucleotide in the nucleic acid sequence. It is preferable to determine state probabilities for a nucleotide at or near the middle of the nucleic acid sequence. State probabilities for the nucleotide are determined by first finding the probability of the initial oligonucleotide in the nucleic acid sequence, and then finding the transition probabilities for the remainder of the nucleotides in the nucleic acid sequence. The initial oligonucleotide probability and transition probability information is used to determine the probabilities of each of the states for the entire nucleic acid sequence, and the resulting state probabilities are assigned to the nucleotide. Eight states are described below for Figure 1, but those of skill in the art will readily see that fewer than eight states can be employed.

Referring now to Figure 1, in step 12, the probability that the initial oligonucleotide occurs in each of the states is determined according to equation I:

$$P_f(a_1...a_k) = \frac{|a_1...a_k|_f}{N_f}$$

(I)

where " $a_1...a_k$ " is an initial oligonucleotide of length  $k$ ,  $a_1$  is the first nucleotide in the oligonucleotide,  $N_f$  is the set of all oligonucleotides occurring in the model sample set, and  $f$  is an element of the set of states, which, in a preferred embodiment, is  $\{1+, 2+, 3+, N+, 1-, 2-, 3-, N-\}$ .

The oligonucleotide length is predefined, and can be any length for which probabilities can be reliably generated. Oligonucleotides can be, for example, from 2 to 100 nucleotides, preferably 5 to 20 nucleotides, and more preferably from 8 to 12 nucleotides in length. The initial oligonucleotide frequencies of all possible oligonucleotides in the model sample set can be, for example stored in a look up table, which is accessed as needed. A table defining the model sample set can be constructed, for example, by reference to sample nucleic acid sequences from a previously examined collection of nucleic acids, preferably from a closely related organism, more preferably from the same organism as the nucleic acid sequence under investigation. For example, sample nucleic acid sequences from *Arabidopsis* can be used for a table for investigation of nucleic acid sequences of plants such as soybean, maize, etc. Similarly, sample nucleic acid sequences from a chimpanzee can be used for a table for investigation of nucleic acid sequences of humans. By examining known nucleic acid sequences, model oligonucleotide frequencies in each of the states can be determined. A table can include indefinite or modified nucleotides, or any other nucleotide variations that occur in nucleic acid sequences. Alternatively, it is also possible to use estimation functions in place of such a table of probabilities (see, for example, Besemer, J., Borodovsky, M. (1999) *Nucl. Acids Res.*, v.27, pp. 3911-3920, which is herein incorporated by reference in its entirety).

In step 14, the transition probabilities for all nucleotides in the nucleic acid sequence after the initial oligonucleotide in each of the states are determined. The transition probability is the probability of a nucleotide occurring given the oligonucleotide immediately preceding the nucleotide. The transition probability for the first nucleotide transition is set out in equation II:

$$P_f(a_{k+1}|a_1...a_k) = \frac{|a_1...a_{k+1}|_f}{|a_1...a_k|_f}$$

(II)

where k is the oligonucleotide length,  $a_1$  is the first nucleotide in the oligonucleotide, " $a_1...a_k$ " is the initial oligonucleotide,  $a_{k+1}$  is the nucleotide immediately following  $a_k$ , and  $f \in \{1+,2+,3+,N+,1-,2-,3-,N-\}$ . Equation II determines the transition probability for the first nucleotide following the initial oligonucleotide. After determining the transition probability for

the first nucleotide after the initial oligonucleotide, the transition probabilities are determined sequentially for the remaining nucleotides in the nucleic acid sequence. This means that a transition probability is determined for the second nucleotide after the initial oligonucleotide ( $a_{k+2}$ ) based on the oligonucleotide beginning at the second position,  $a_2$ , and ending at  $a_{k+1}$ . The process is repeated until the end of the nucleic acid sequence is reached. For example, if the oligonucleotide length is ten, then a transition probability for nucleotide eleven is determined based on the oligonucleotide comprising nucleotides one through ten. Then, a transition probability for nucleotide twelve is determined based on the oligonucleotide comprising nucleotides two through eleven, and so on, until the last nucleotide in the nucleic acid sequence is reached.

The transition probabilities can be stored in a table, for example. The table can be constructed, for example, by reference to sample nucleic acid sequences from a previously examined portion of nucleic acid, preferably from a closely related organism, more preferably from the same organism as the nucleic acid under investigation. By examining known nucleic acid sequences, model transition probabilities in each of the states can be determined.

In step 16, the probability of the nucleic acid sequence, (S), occurring in each of the states (f) is determined by finding the product of the probability of the initial oligonucleotide and the transition probabilities in each of the states. This step is set forth in equation III for a model with eight states:

$$P_f(S) = P_f(a_1 \dots a_k) \cdot \prod_{i=1}^{\omega} P_{F(i)}(a_{k+i+1} | a_i \dots a_{i+k})$$

(III)

where the function

$$F(i) = \begin{cases} i \bmod 3 + 1 & \text{if } f = 1^{\pm} \\ (i + 1) \bmod 3 + 1 & \text{if } f = 2^{\pm} \\ (i + 2) \bmod 3 + 1 & \text{if } f = 3^{\pm} \\ N & \text{if } f = N^{\pm} \end{cases}$$

and  $\omega$  is the length of the nucleic acid sequence, and “ $a_1...a_k$ ” is the initial oligonucleotide.

In step 18, the probability of each state for the nucleic acid sequence “ $P(f|S)$ ” is determined given the probability of the nucleic acid sequence,  $S$ , in each state. A bias function,  $\phi(f)$ , is incorporated into the equation to account for known nucleic acid sequence information. This step is set forth in equation IV:

$$(IV) \quad P(f|S) = \frac{\phi(f) \cdot P_f \cdot P_f(S)}{\sum_{i \in \{1^+, 2^+, 3^+, N^+, 1^-, 2^-, 3^-, N^-\}} \phi(f) \cdot P_i \cdot P_i(S)}$$

wherein  $P_f$  is  $\frac{1}{12}$  for each coding state ( $1^+$ ,  $2^+$ ,  $3^+$ ,  $1^-$ ,  $2^-$ ,  $3^-$ ) and  $\frac{1}{4}$  for each noncoding state ( $N^+$ ,  $N^-$ ). The bias function is used to modify these default  $P_f$  values. By modifying the default values, the investigator can account for known nucleic acid sequence features. For example, if another bioinformatics process has indicated that there is a high probability that a certain portion of a nucleic acid sequence comprises a gene, then it would be advantageous to bias the state probabilities in favor of the coding states. The resulting state probabilities produced by the method will reflect the bias through stronger probabilities of the coding states relative to the noncoding states.

If, for example, the nucleic acid sequence is known to be a coding nucleic acid sequence, the bias function can be defined by equation V:

$$(V) \quad \phi(f) = \begin{cases} 1 & \text{if } f \neq N^\pm \\ 0 & \text{if } f = N^\pm \end{cases}$$

Equation V uses a bias of 1 for all coding states, and a bias of 0 for all noncoding states. The net effect will be to cause the probability of the sequence in each noncoding state to drop to

zero, while leaving the probability of the sequence in the coding states unaffected. Application of equation IV then leads to a decrease of the probabilities of the noncoding states to zero, while increasing the probabilities of the coding states.

If the nucleic acid sequence is known to be a noncoding nucleic acid sequence, then the bias function can be defined by equation VI:

$$(VI) \quad \phi(f) = \begin{cases} 0 & \text{if } f \neq N^{\pm} \\ 1 & \text{if } f = N^{\pm} \end{cases}$$

Equation VI reverses the effect of equation V. Of course, the bias function does not need to be binary in nature, as is shown in the above two examples, but rather can be defined in any manner that corresponds with known nucleic acid sequence data. A principal feature of this technique is that it can be used to specifically combine gene prediction information from other sources into biasing the results of the state probabilities algorithm shown in Figure 1 (and subsequent gene prediction based thereon).

The resulting values for the probability of each state for the nucleic acid sequence can now be associated with the nucleotide for which state probabilities were being determined.

In a further embodiment of the method shown in Figure 1, the nucleic acid sequence is part of a larger nucleic acid sequence. This embodiment can be applied to any of the methods described herein wherein a nucleic acid sequence is used, including those represented in Figures 1 through 7.

Figure 1 shows the determination of state probabilities for a single nucleotide in a nucleic acid sequence. Oftentimes, however, it will be desirable to determine the state probabilities for more than one nucleotide in a nucleic acid sequence.

Figure 2 represents the application of the method shown in Figure 1 to multiple nucleotides in a nucleic acid sequence. In order to determine the state probabilities for more than one nucleotide, a window is used for each nucleotide that is examined. The nucleotide that is being examined is within the window, and the probability determinations set out in equations I, II, III, and IV are performed for the sequence in the window. The oligonucleotide probabilities

are determined as before for the nucleic acid sequence within the window, probabilities for each of the states are determined for the nucleic acid sequence within the window, and those probabilities are assigned to the nucleotide within the window for which state probabilities are being determined, which, in a preferred embodiment, is the middle nucleotide. Another  
5 nucleotide is then examined, with the window shifted or redefined around the new nucleotide, and so on, until the final nucleotide in the nucleic acid sequence for which state probabilities are to be determined is reached.

In steps 22, 24, 26, and 28, probabilities are determined as in steps 12, 14, 16, and 18 respectively, with the window in steps 22, 24, 26, and 28 corresponding to the nucleic acid sequence in steps 12, 14, 16, and 18 respectively for the purposes of those steps. At step 28, the state probabilities for the nucleotide for which state probabilities are being determined are associated with that nucleotide.

In step 30, the algorithm checks to see if the state probabilities for the last nucleotide have just been determined. If yes, flow proceeds to step 32 and ends. If in step 30 the last nucleotide has not been reached, flow proceeds to step 34, where the next nucleotide for which state probabilities are to be determined is designated as the nucleotide to analyze in steps 22, 24, 26, and 28. After step 34, flow returns to steps 22, 24, 26, and 28, where the state probabilities of the designated nucleotide are determined. At step 34 any nucleotide from the remaining nucleotides that have not yet had state probabilities determined can be designated the next  
20 nucleotide.

In a preferred embodiment, the first nucleotide to be examined in step 22 is the first nucleotide in a contiguous nucleic acid sequence of nucleotides for which state probabilities are to be determined, each subsequent nucleotide at step 34 is the next nucleotide of the contiguous nucleic acid sequence of nucleotides for which state probabilities are to be determined, and the  
25 last nucleotide in step 30 is the last nucleotide in the contiguous nucleic acid sequence of nucleotides for which state probabilities are to be determined.

The window size can be the same or different for each nucleotide, and the nucleotide can be located anywhere within its window. In a preferred embodiment, the window size is the same for each nucleotide in the nucleic acid sequence, and each nucleotide is the middle nucleotide in  
30 its own window. In one embodiment, windows are from 3 nucleotides to 1,000 nucleotides in

length, preferably 50 to 200 nucleotides in length, and more preferably from 75 to 125 nucleotides in length.

The result of the process shown in Figure 2 is the association of state probabilities with each individual nucleotide for which state probabilities were determined. In one embodiment, the nucleotides for which state probabilities are to be determined are a contiguous nucleic acid sequence of nucleotides within a longer nucleic acid sequence of nucleotides.

Figures 3 through 7 all utilize probability models to determine state probabilities. Any probability model that allows for determination of the required probabilities in a plurality of states can be used, with use of an inhomogeneous Markov model preferred, and use of the inhomogeneous Markov model described above in reference to Figure 2 especially preferred.

Figure 3 represents one embodiment of a method for determining the coding strand of a nucleic acid sequence. The process determines the state probabilities for each nucleotide in the nucleic acid sequence, sums the positive states for the nucleic acid sequence, and sums the negative states for the nucleic acid sequence. If the sums for the positive states and the negative states are sufficiently different, then the process determines that the state with the greater sum is the coding strand.

In step 38, state probabilities are determined for each nucleotide in the nucleic acid sequence for which the coding strand is being determined. In one embodiment, state probabilities are determined using the inhomogeneous Markov model described above in reference to Figure 2.

In step 40, the probability of each state determined in step 38 for the positive states (1+, 2+, 3+, and N+) for each nucleotide in the nucleic acid sequence for which the coding strand is being determined are summed. That is, the values for the states of noncoding, positive and coding, positive in the first, second, and third reading frames for all nucleotides in the nucleic acid sequence for which the coding strand is being determined are summed. The sum is set to the arbitrary variable X.

In step 42, the values determined in step 38 for the negative states (1-, 2-, 3-, N-) for each nucleotide in the nucleic acid sequence for which the coding strand is being determined are summed. That is, the values for the states of noncoding, negative and coding, negative in the first, second, and third reading frames for all nucleotides in the nucleic acid sequence for which

the coding strand is being determined are summed. The sum is set to the arbitrary variable Y. Steps 40 and 42 can be performed in reverse order.

In step 44, a function of X and Y is used to determine whether the state probabilities indicate sufficient coding on one strand of the nucleic acid sequence. That is, it is determined whether  $f(X,Y) < T$ , where T is a defined threshold value. Any function can be used that allows for the desired discrimination. In one embodiment, the function used in step 44 is

$$f(X,Y) = \frac{|X - Y|}{(X + Y)}. \quad \text{When } f(X,Y) = \frac{|X - Y|}{(X + Y)}, \text{ the value of T is about 0.1 to about 0.9,}$$

preferably is about 0.25 to about 0.75, and even more preferably is about 0.4 to about 0.6. If in step 44 the function results in a value that is less than the threshold value, T then flow proceeds to step 46, where it is determined that coding is mixed or is not detectable. If in step 44 the function results in a value that is equal to or greater than the threshold value, T, then flow proceeds to step 48.

In step 48, it is determined on which strand coding occurs. A function of X is compared to a function of Y to determine which strand is coding. Any two functions that allow for the proper comparison can be used, including functions that weight one of the two strands. In one embodiment,  $f(X) = X$  and  $f(Y) = Y$ , and the comparison in step 48 simply determines which sum is greater. If in step 48 the function of X is found to be greater than the function of Y, then flow proceeds to step 50 where it is determined that coding is on the positive strand. If in step 48 it is determined that the function of X is not greater than Y, then flow proceeds to step 52, where it is determined that coding is on the negative strand.

In another embodiment of the method represented by Figure 3, steps 44 and 46 can be removed for situations in which it is already known or suspected that coding is present and only on one strand. In this embodiment, flow begins at step 38 and, after executing step 42, flow proceeds directly from step 42 to step 48.

Figure 4 represents one embodiment of a method for determining the extent of an open reading frame (ORF) within a nucleic acid sequence. The process determines the extent of the open reading frame by first determining the state probabilities for each nucleotide in the nucleic acid sequence. Then, beginning from within the nucleic acid sequence, preferably the approximate middle of the nucleic acid sequence, and proceeding toward one end of the nucleic



acid sequence, the process examines each nucleotide in turn and determines whether the nucleotide is sufficiently likely to code. When a sufficient number of nucleotides with an insufficient likelihood of coding are encountered, the process determines that one end of the open reading frame has been found. The process then repeats from the middle to the other end of the nucleic acid sequence in order to find the second end of the open reading frame.

In step 56, the state probabilities of each of the nucleotides in the nucleic acid sequence are determined. As stated above, any probability model that has the correct form of output can be used, with an inhomogeneous Markov model preferred, and the inhomogeneous Markov model described above and represented in Figure 2 most preferred.

In step 58, the coding strand of the nucleic acid sequence is determined and designated "S." Any algorithm or method that can use the state probabilities produced in step 56 can be used, and in a preferred embodiment, the method described above and represented in Figure 3 is used. If coding strand is indeterminate, an error can be returned at this step and processing does not continue. In applications where the coding strand is already known or suspected, step 58 can be omitted from the process, in which case step 56 can flow directly to step 60.

In step 60 an arbitrary variable, L, is set to half of the length of the nucleic acid sequence, S, which designates L the middle nucleotide (determination of the middle for even and odd sequences is done as described above for the middle nucleotide). In an alternative embodiment, L can initially be set to any nucleotide in the nucleic acid sequence. It is preferred, however, to begin with L relatively close to the middle of the putative ORF, because proper resolution of the ends of the ORF is then more likely.

Steps 62, 64, and 66 effectively search through the nucleic acid sequence in a descending direction from L toward the first nucleotide in the nucleic acid sequence for one of the ORF ends. In step 62, the sum of the probabilities of the coding states on the strand S -- that is the set (1+, 2+, and 3+) or the set (1-, 2-, and 3-) depending on whether strand S is the positive or negative strand -- for nucleotide L is determined and compared to threshold value T'. In an alternative embodiment, the probability of all six coding states (1+, 2+, 3+, 1-, 2-, and 3-) can be combined. If the sum of the coding states is greater than or equal to a threshold value, T', and the nucleotide is greater than the first nucleotide in the nucleic acid sequence (that is,  $L > 1$ ), then L is set to L-1 and P, an arbitrary counting variable, is set to L-1. In one embodiment, the value of T is about

0.1 to about 0.9, preferably is about 0.25 to about 0.75, and even more preferably is about 0.4 to about 0.6.

Flow then proceeds to step 64. If the sum of the coding states, as discussed above, is less than  $T'$  and  $P$  is greater than 1, then  $P$  is set to  $P-1$ . The effect of the two steps, 62 and 64, is to reduce both  $L$  and  $P$  at the same rate if the sum of the coding states is greater than or equal to  $T'$ , or to reduce  $P$  but not  $L$  if the sum of the states is less than  $T'$ .

After step 64, flow proceeds to step 66, where it is determined if  $L-P > T''$  or  $P=1$ . If  $L-P > T''$ , wherein  $T''$  is a threshold value, then a gap between the last nucleotide ( $L$ ) with a sufficient sum of coding states and the current nucleotide being examined has increased beyond the threshold value  $T''$ .  $T''$  can be set to any number that allows for the proper gap of noncoding nucleotides.  $T''$  should be larger than the maximum expected length of an intron for the nucleic acid sequence. This number will depend in large part on the model sample set being used. If the number for  $T''$  is set too low, then a relatively lengthy intron will be sufficient to fix  $L$  at the end of an exon that is not at the end of the ORF. If  $P=1$ , then the end of the sequence has been reached. In one embodiment,  $T''$  is about 10 to about 20,000 nucleotides, preferably about 50 to about 10,000 nucleotides, and more preferably about 500 to about 700 nucleotides.

If neither condition in step 66 is met, then flow returns to step 62 and loops through steps 64 and 66 until one of the conditions in step 66 is met, at which point flow proceeds to step 68. Steps 68, 70, 72, and 74 check for the end of the ORF in the ascending direction, and perform the same function as steps 60, 62, 64, and 66 but in the opposite direction.

In step 68,  $M$  is set to the middle nucleotide. As above for  $L$ , this value can be altered in alternative embodiments. In step 70, the sum of the coding states, as above, is compared to  $T'$ , and  $M$  is compared to the length of the nucleic acid sequence. If the sum of the coding states of nucleotide  $M$  is greater than or equal to  $T'$  and  $M$  is less than the length of the nucleic acid sequence, then  $M$  is set to  $M+1$  and  $Q$  is set to  $M+1$ . Flow proceeds to step 72, where, if the sum of the coding states is less than  $T'$  and  $Q$  is less than the length of the nucleic acid sequence, then  $Q$  is set to  $Q+1$ . Flow proceeds to step 74, where it is determined if  $Q-M > T''$ , or  $Q >$  length of the nucleic acid sequence. If either is true, then flow proceeds to step 76, where the ORF is determined to extend from nucleotide  $L$  to nucleotide  $M$ . If in step 74 neither condition is true, then flow loops to step 70.

In an alternative embodiment, different threshold values can be used in place of T' and T" for the second loop, which comprises steps 70, 72, and 74. Different threshold values for steps 62, 64, and 66 versus steps 70, 72, and 74 could be desirable if, for example, one end of an ORF was known or suspected to be degraded to some extent.

5 Figure 5 is a flowchart representing one embodiment of a method for determining the location of deletions and additions within a nucleic acid sequence. The process first determines the state probabilities for each nucleotide in the nucleic acid sequence. Then the process determines whether in the window around a specific nucleotide the most likely state for the nucleic acid sequence on one side of the specific nucleotide is different from the most likely state for the nucleic acid sequence on the other side of the specific nucleotide. If so, the process determines whether a hypothetical insertion or deletion at the specific nucleotide would sufficiently improve the state probabilities of the entire nucleic acid sequence in the window. If so, then an insertion or a deletion is indicated.

10 In step 78, the state probabilities of each of the nucleotides in the nucleic acid sequence is determined. As stated above, any probability model that has the correct form of output can be used, with an inhomogeneous Markov model preferred, and the inhomogeneous Markov model described above and represented in Figure 2 most preferred.

15 In step 80, the first nucleotide is designated as "Z," and the size of a window, W, is set. In step 82, the probabilities of each of the states of the nucleotides between Z and the midpoint of the window  $Z + \frac{W}{2}$  are averaged, and the state with the greatest average is set to "A" (windows with an even or odd number of nucleotides are treated as above for the middle nucleotide with respect to determination of  $\frac{W}{2}$ ). "A" is effectively the most likely state of the first half of window W.

20 In step 84, the probabilities of the states of the nucleotides between the midpoint of the window  $Z + \frac{W}{2}$  and the end of the window, Z+W, are averaged, and the state with the greatest average is set to B. B is effectively the most likely state of the second half of window W.

25 In step 86, the most probable states, A and B, are checked to see if they are each a coding state and not the same coding state. If both A and B are coding states and they are not the same

coding state, then flow proceeds to steps 88, 90, and 92, where the nucleotide at  $Z + \frac{W}{2}$  is examined further. If, in step 86, A and B are the same coding state, or if one of the two is most probably a noncoding state, then flow proceeds to 96, where it is determined if Z is greater than the length of the nucleic acid sequence minus  $\frac{W}{2}$ . If so, then flow proceeds to step 98, and the process ends. If, in step 96, Z is not within a distance of  $\frac{W}{2}$  of the end of the nucleic acid sequence, then flow proceeds to step 100, where Z is increased by one. Flow then loops to step 82.

If in step 86 if it was determined that both conditions were met, then flow proceeds to steps 88 through 92 to determine if either a deletion or an addition occurred at nucleotide  $Z + \frac{W}{2}$ .

In step 88, a hypothetical average of state probabilities for state A for the entire window, nucleotides Z to Z+W, for an insertion is determined. The hypothetical average of state probabilities for state A is determined for the window as if the nucleotide at  $Z + \frac{W}{2}$  is removed. The probabilities of state A of the nucleotides in W are averaged to obtain the hypothetical average state probabilities for state A for the entire window, and the value is set to N. In step 90, a hypothetical average of state probabilities for state A for the entire window, nucleotides Z to Z+W, for a deletion is calculated similarly. The hypothetical average of state probabilities for state A in step 90 is determined and set to M for the window as if a nucleotide has been added on one side or the other of the nucleotide at  $Z + \frac{W}{2}$ . By averaging the state probabilities of all of the nucleotides in the window for either an insertion or a deletion, the values of N and M reflect the likelihood that either an insertion or a deletion has taken place. In steps 88 and 90, in an alternative embodiment, state B can be used in place of state A to achieve a similar result.

In step 92, the larger of M and N is compared to the sum of the probabilities of the states indicating coding (1+, 2+, 3+, 1-, 2-, and 3-) of the nucleotide at  $Z + \frac{W}{2}$ . If in step 92 neither M nor N is greater than the sum of the probabilities of the coding states of the nucleotide at  $Z = \frac{W}{2}$ ,

then it is determined that no insertion or deletion has taken place and flow proceeds to step 96. If in step 92 either M or N is greater than the sum of the probabilities of the coding states of the nucleotide at  $Z = \frac{W}{2}$ , then it is determined that an insertion or a deletion has taken place, and flow proceeds to step 94.

- 5            In step 94, a deletion is indicated if N is greater than M, and an insertion is indicated if N is not greater than M, and flow then proceeds to step 96.

Figure 6 is a flow chart representing one embodiment of a method for determining the location of one or more exons within a nucleic acid sequence and the protein translation of those exons. The process begins by determining the state probabilities for each nucleotide in the nucleic acid sequence, the coding strand, and the extent of the open reading frame. The process then classifies each nucleotide according to its most probable state. Filters, which reclassify nucleotides in a defined manner in order to make local blocks of the nucleic acid sequence consistent, are then applied to the nucleic acid sequence. Regions of the nucleic acid sequence that are in any of classes 1, 2, or 3 are then designated as exons, and the exons are translated. Translation is accomplished by using the universal genetic code to convert the nucleic acid sequence of the designated exons into the corresponding amino acid sequence based on the reading frame of the class. That is, exons in class 1 will be translated in reading frame 1, exons in class two will be translated in reading frame 2, and exons in class 3 will be translated in reading frame 3. The translation is linearly arranged to correspond to the linear arrangement of the exons along the nucleic acid sequence.

- 20            In step 102, the state probabilities of each of the nucleotides in the nucleic acid sequence are determined. As stated above, any probability model that has the correct form of output can be used, with an inhomogeneous Markov model preferred, and the inhomogeneous Markov model described above and represented in Figure 2 most preferred. In step 104, the strand and the  
25            extent of the open reading frame is determined. Any method for determining the strand and the extent of the ORF that can use the state probabilities generated in step 102 can be used, and in a preferred embodiment, the methods described above and represented in Figures 3 and 4 can be used for such determination.

In step 106, the nucleotides in the nucleic acid sequence are categorized as the highest probability state as determined in step 102. For example, in a model having four states for each nucleic acid strand, each nucleotide is categorized as 1, 2, 3, or N.

In step 108, which is optional, one or more filters are applied to the nucleic acid sequence in order to group adjacent nucleotides by class. Any filter that converts portions of the nucleic acid sequence with inconsistent nucleotide classification to a more homogeneous state can be used. The net effect of the application of one or more filters to the nucleic acid sequence classification in step 104 will be to group adjacent nucleotides and blocks of nucleotides into the same coding classification, thereby making exon and introns more uniform, and exon and intron boundaries more evident.

In step 110, the filtered nucleic acid sequence is analyzed for exons. Any contiguous regions with coding classes of 1, 2, or 3 are determined to be exons. Once each exon has been identified, the exons can be translated using the universal genetic code, and a resulting protein sequence derived.

Figure 7 is a second embodiment of the method described above and represented in Figure 6, with explicit filtering steps detailed therein. In Figure 7, steps 102, 104, 106, and 110 are the same as those described above and shown in Figure 6. In Figure 7, after step 106, steps 112, 114, 116, 118, 120, 122, and 124 are filter steps that are applied to the categorized nucleic acid sequence produced in step 106. The order shown for the filter steps, 112, 114, 116, 118, 120, 122, and 124, can be rearranged to occur in any order in the process, and any combination of the steps can be used, including combinations that omit one or more of the filtering steps.

In step 112, any noncoding nucleotide flanked by two nucleotides with the same class is reclassified into the class of the two flanking nucleotides. For example, 1,N,1 would be converted to 1,1,1.

In step 114, any nucleotide that is flanked by two pairs of adjacent nucleotides all with the same class is reclassified into the class of the flanking nucleotides. For example, 1,1,2,1,1 would be converted to 1,1,1,1,1.

In step 116, any adjacent nucleotide pair having the same class that is flanked by two pairs of adjacent nucleotides all with the same class is reclassified into the class of the flanking nucleotides. For example, 1,1,2,2,1,1 would be converted to 1,1,1,1,1,1.

In step 118, any adjacent nucleotide pair having the same class that is flanked by two nucleotides with the same class is reclassified into the class of the flanking nucleotides. For example, 1,2,2,1 would be converted to 1,1,1,1.

In step 120, any nucleotide flanked by two nucleotides with the same class is reclassified into the class of the flanking nucleotides. For example, 1,2,1 is converted to 1,1,1.

In step 122, any contiguous, noncoding nucleotide region with an insufficient length is reclassified into the class of the flanking coding regions. An insufficient length is any length that is too small to be an intron. This length will be dependent in large part upon the particular nucleic acid sequence under study. In one embodiment, a length of about 10 to 50, preferably about 20 to 40, and more preferably about 25 to 35 nucleotides in length is used. The size of the noncoding nucleotide length required can, in alternative embodiments, be changed as appropriate to better suit examination of the nucleic acid sequence under study. In step 122, the classification of the flanking regions of coding nucleotides can be extended into the noncoding regions an equal amount on either side, an unequal amount on either side, or entirely on one side or the other.

In step 124, any coding region (i.e. a region with nucleotides of classes 1, 2, or 3, comprising more than one nucleotide classification) is reclassified as the most common class in that coding segment.

Flow proceeds to step 110, where the filtered nucleic acid sequence is analyzed for exons. Any contiguous regions with nucleotides of classes 1, 2, or 3 are determined to be exons. Once each exon has been identified, the exons can be translated using the universal genetic code, and a resulting protein sequence derived.

While performing the methods described above in Figures 1-7, windows can sometimes extend past the end of a sequence. Conventional applications that use window-based probability models for multiple nucleotides, such as the windows described above, are limited in their application at the ends of nucleic acid sequences. Since coding probability can be calculated using a window that is centered on each nucleotide of a nucleic acid sequence in turn, a window can extend beyond an end of a sequence. Figure 8a schematically represents a nucleic acid

sequence 200 with a window 204 of length "W." As shown in Figure 8a, the window 204 is empty for the first  $\frac{W}{2}$  bases at an end 206 of the sequence 200.

As shown in Figure 8b, the present invention remedies this problem by using the local nucleic acid sequence 216 at the end 206 of the nucleic acid sequence 200 as a source for hypothetical nucleotides added on to the end 206 the nucleic acid sequence 206. As shown in Figure 8c, a copy 218 of the local nucleic acid sequence 216 can be created. As shown in Figure 8d, the copy 218 can then be appended onto the end 206 to form a hypothetical nucleic acid sequence extension. As shown in Figure 8d, the window 204 is now filled with nucleotides from the nucleic acid sequence 200 and the hypothetical nucleic acid sequence extension 218, which allows for probability determination within the window 204. As shown in Figures 8b, 8c, and 8d, the same process can be performed on the other end of the sequence at the same time. Any number of nucleotides can be copied and added in this manner in order to provide the correct size window. In a preferred embodiment, the number of nucleotides copied is a multiple of three. For example, if a 100 nucleotide window is desired for the first nucleotide in the nucleic acid sequence, the first 51 nucleotides of the nucleic acid sequence can be copied to form a hypothetical 51 nucleotide extension. When state probabilities are determined for the first nucleotide, the 51 appended nucleotides are used to fill the first half of the window. The same or different nucleotides can be copied and used in a similar manner for any other nucleotides without a sufficient window. This process can be repeated for the other end of the nucleic acid sequence, of course, as needed. The copied nucleotides can be appended in either orientation on the end of the nucleic acid sequence.

### ***Implementation:***

A computer system capable of carrying out the functionality and methods described above is shown in more detail in Figure 9a. A computer system 702 includes one or more processors, such as a processor 704. The processor 704 is connected to a communication bus 706. The computer system 702 also includes a main memory 708, which is preferably random access memory (RAM). Various software embodiments are described in terms of this exemplary computer system. After reading this description, it will become apparent to a person skilled in



the relevant art how to implement the invention using other computer systems and/or computer architectures.

In a further embodiment, shown in Figure 9b, the computer system can also include a secondary memory 710. The secondary memory 710 can include, for example, a hard disk drive 712 and/or a removable storage drive 714, representing a floppy disk drive, a magnetic tape drive, or an optical disk drive, among others. The removable storage drive 714 reads from and/or writes to a removable storage unit 718 in a well known manner. The removable storage unit 718, represents, for example, a floppy disk, magnetic tape, or an optical disk, which is read by and written to by the removable storage drive 714. As will be appreciated, the removable storage unit 718 includes a computer usable storage medium having stored therein computer software and/or data.

In alternative embodiments, the secondary memory 710 may include other similar means for allowing computer programs or other instructions to be loaded into the computer system. Such means can include, for example, a removable storage unit 722 and an interface 720. Examples of such can include a program cartridge and cartridge interface (such as that found in video game devices), a removable memory chip (such as an EPROM, or PROM) and associated socket, and other removable storage units 722 and interfaces 720 which allow software and data to be transferred from the removable storage unit 722 to the computer system.

The computer system can also include a communications interface 724. The communications interface 724 allows software and data to be transferred between the computer system and external devices. Examples of the communications interface 724 can include a modem, a network interface (such as an Ethernet card), a communications port, a PCMCIA slot and card, etc. Software and data transferred via the communications interface 724 are in the form of signals 726 that can be electronic, electromagnetic, optical or other signals capable of being received by the communications interface 724. Signals 726 are provided to communications interface via a channel 728. A channel 728 carries signals 726 in two directions and can be implemented using wire or cable, fiber optics, a phone line, a cellular phone link, an RF link and other communications channels. In one embodiment, the channel is a connection to a network. The network can be any network known in the art, including, but not limited to, LANs, WANs, and the Internet. Nucleic acid sequence data can be stored in remote systems, databases, or

distributed databases, among others, for example GenBank, and transferred to computer system for processing via the network. In a preferred embodiment, nucleic acid sequence data is received through the Internet via the channel 728. Nucleic acid sequences can be input into the system and stored in the main memory 708. Input devices include the communication and storage devices described herein, as well as keyboards, voice input, and other devices for transferring data to a computer system. In a further embodiment, nucleic acid sequences can be generated by an automatic sequencer, for example any that are known in the art, and the implementations described herein can be incorporated within the automatic sequencer device in order to directly use the output of the automatic sequencer.

In this document, the terms "computer program medium" and "computer usable medium" are used to generally refer to media such as the removable storage device 718, a hard disk installed in hard disk drive 712, and signals 726. These computer program products are means for providing software to the computer system.

Computer programs (also called computer control logic) are stored in the main memory 708 and/or the secondary memory 710. Computer programs can also be received via the communications interface 724. Such computer programs, when executed, enable the computer system to perform the features of the present invention as discussed herein. In particular, the computer programs, when executed, enable the processor 704 to perform the features of the present invention. Accordingly, such computer programs represent controllers of the computer system.

In an embodiment where the invention is implemented using software, the software may be stored in a computer program product and loaded into the computer system using the removable storage drive 714, the hard drive 712 or the communications interface 724. The control logic (software), when executed by the processor 704, causes the processor 704 to perform the functions of the invention as described herein.

In another embodiment, the invention is implemented primarily in hardware using, for example, hardware components such as application specific integrated circuits (ASICs). In one embodiment incorporating ASIC technology, a self-contained device, which could be hand-held, has integrated circuits specific to perform the methods described above without the need for software. Implementation of such a hardware state machine so as to perform the functions

described herein will be apparent to persons skilled in the relevant art(s). In yet another embodiment, the invention is implemented using a combination of both hardware and software.

The following examples are illustrative only. It is not intended that the present invention be limited to the illustrative embodiments.

5

### EXAMPLE 1

Referring now to Figures 10a, 10b, and 10c, examples of biasing are shown. Figure 10a shows a portion of genomic DNA 300. Aligned with the genomic DNA 300 is an expressed sequence tag (EST) 302. The EST 302 comprises coding regions 304 and noncoding regions 306. In Figure 10b a window 308 of nucleotides is examined. The window 308 is positioned on the genomic DNA 300 that corresponds to a known coding region 304 on the EST 302. The *a priori* probability of coding is said to be 100% over that window 308 and a bias is applied accordingly. In Figure 10c, a different window 310 straddles the intron-exon boundary, and the *a priori* probability of coding is said to be 100% for the nucleotides in the window 310 that correspond to the coding region 304 of the EST 302, while the *a priori* probability of coding is said to be 0% for the nucleotides in the window 310 that correspond to the noncoding region 306 of the EST 302.

Bias is applied to the two different situations shown in Figures 10b and 10c as follows. The general equation for the probability of the sequence  $S = a_1 \dots a_w$  of a Markov process of order  $n$  is shown in Equation VII:

$$(VII) \quad P(a_1 \dots a_w) = P(a_1 \dots a_n) \cdot P(a_{n+1} | a_1 \dots a_n) \cdot \dots P(a_w | a_{w-n} \dots a_{w-1})$$

This equation is based on an inhomogeneous Markov model, whereby the initial and transitional probabilities are dependent on the periodic state of the sequence (as in a hidden Markov model with fixed state transition probabilities). In this model, initial and transition probabilities are dependent on the sequence orientation and phase in which the sequence is read relative to the codons in the coding portion of the nucleic acid sequence. Thus, equation VIII is used:

$$(VIII) \quad P_f(S) = P_f(a_1 \dots a_n) \cdot \prod_{i=1}^{\omega-n} P_{F(i,\sigma)}(a_{n+i} | a_i \dots a_{n+i-1})$$

where, given a state  $\sigma \in \{1^+, 2^+, 3^+, N^+, 1^-, 2^-, 3^-, N^-\}$  representing the possible states  
 5 for reading the sequence, wherein ...

$$(IX) \quad F(i) = \begin{cases} i \bmod 3 + 1 & \text{if } f = 1^\pm \\ (i+1) \bmod 3 + 1 & \text{if } f = 2^+ \\ (i+2) \bmod 3 + 1 & \text{if } f = 3^\pm \\ N & \text{if } f = N^\pm \end{cases}$$

Equation X is used to apply Bayes' rule to determine the probability that the sequence S is  
 in state  $\sigma$ :

$$(X) \quad P(\sigma|S) = \frac{P_\sigma \cdot P_\sigma(S)}{\sum_{i \in \{1^+, 2^+, 3^+, N^+, 1^-, 2^-, 3^-, N^-\}} P_i \cdot P_i(S)}$$

A bias function is added to equation X in order to allow for biasing of regions of DNA for  
 15 which coding information is available. The bias function is incorporated in equation XI:

$$(XI) \quad P(\sigma|S) = \frac{\phi(\sigma) \cdot P_\sigma \cdot P_\sigma(S)}{\sum_{i \in \{1^+, 2^+, 3^+, N^+, 1^-, 2^-, 3^-, N^-\}} \phi(\sigma) \cdot P_i \cdot P_i(S)}$$

Equation XI can be applied to the hypothetical region of DNA shown in the window 308 in figure 10b. Since the entirety of the sequence in the window 308 lies in a coding region (as determined with the EST 302), a bias function  $\phi(\sigma)$  can be defined according to equation XII:

$$P(\sigma|S) = \begin{cases} 1 & \text{if } \sigma \in \{1^+, 2^+, 3^+\} \\ 0 & \text{if } \sigma \in \{1^-, 2^-, 3^-, N^+, N^-\} \end{cases}$$

5 (XII)

which reflects that we know with 100% certainty that the sequence segment must be coding in one of the three direct reading frames, but that we do not know which. In this case, since  $\phi(\sigma) = 0$  where  $\sigma \in \{N^+, 1^-, 2^-, 3^-, N^-\}$ , equation XII can be written as equation XIII:

$$P(\sigma|S) = \begin{cases} 0 & \text{if } \sigma \in \{1^-, 2^-, 3^-, N^+, N^-\} \\ P_\sigma \cdot P_\sigma(S) \cdot \left[ \sum_{i \in \{1^+, 2^+, 3^+\}} P_i \cdot P_i(S) \right]^{-1} & \text{if } \sigma \in \{1^+, 2^+, 3^+\} \end{cases}$$

(XIII)

Because  $P_{1^+} = P_{2^+} = P_{3^+}$  (since the EST does not indicate any difference in probability among the three reading frames), equation XIII can be simplified as shown in equation XIV:

$$P(\sigma|S) = \begin{cases} 0 & \text{if } \sigma \in \{1^-, 2^-, 3^-, N^+, N^-\} \\ P_\sigma(S) \cdot \left[ \sum_{i \in \{1^+, 2^+, 3^+\}} P_i(S) \right]^{-1} & \text{if } \sigma \in \{1^+, 2^+, 3^+\} \end{cases}$$

(XIV)

The function  $\phi(\sigma)$  results in a coding potential (equation XIV) substantially different than the unbiased coding potential function (shown by equation X). In this example, the chosen bias function reduces the probability of the evaluated window 308 to zero in all but the three plus-

strand coding states. This effectively forces the window to be evaluated as coding in one of the positive coding states, while not biasing the probability of those states relative to each other (e.g.,

$\frac{P_{1+}}{P_{2+}}$  is the same with or without the bias function whereas  $\frac{P_{1-}}{P_{1+}}$  may differ).

Figure 10c illustrates a window 310 wherein the evaluated sequence straddles an exon-intron boundary as indicated by the EST 302. A possible function  $\phi(\sigma)$  for this situation would be to expand equation XII to equation XIII:

$$P(\sigma|S) = \begin{cases} e & \text{if } \sigma \in \{1^+, 2^+, 3^+\} \\ 1 - e & \text{if } \sigma \in \{N^+, N^-\} \\ 0 & \text{if } \sigma \in \{1^-, 2^-, 3^-\} \end{cases} \quad \text{(XIII)}$$

where  $e$  represents the fraction of bases in the part of the sequence in the window that lies in the coding region of the DNA 300 as indicated by the coding region 304 of the EST 302. If equation XIII is put into equation IX, equation XIV results:

$$P(\sigma|S) = \begin{cases} 0 & \text{if } \sigma \in \{1^-, 2^-, 3^-\} \\ e \cdot P_\sigma \cdot P_\sigma(S) \cdot \left[ \sum_{i \in \{1^+, 2^+, 3^+, N^+, N^-\}} \phi(i) \cdot P_\sigma \cdot P_i(S) \right]^{-1} & \text{if } \sigma \in \{1^+, 2^+, 3^+\} \\ (1 - e) \cdot P_\sigma \cdot P_\sigma(S) \cdot \left[ \sum_{i \in \{1^+, 2^+, 3^+, N^+, N^-\}} \phi(i) \cdot P_\sigma \cdot P_i(S) \right]^{-1} & \text{if } \sigma \in \{N^+, N^-\} \end{cases} \quad \text{(XIV)}$$

where  $P_\sigma = \frac{1}{4}$  for  $\sigma \in \{N^+, N^-\}$  and  $\frac{1}{6}$  for  $\sigma \in \{1^+, 2^+, 3^+\}$  (given the assumption that coding and noncoding are equiprobable events, each coding state is equiprobable with any other coding state, and that both noncoding states are equiprobable,  $\frac{1}{4} \times 2 = \frac{1}{2}$  and  $\frac{1}{6} \times 3 = \frac{1}{2}$ ).

## EXAMPLE 2

The following example illustrates the computations involved in probability calculations for a sequence with and without a bias applied. The nucleotide sequence GATGACATT is used in this example for clarity and simplicity, but it is understood that longer sequences as indicated above can be used. Further, for this example, a zero order inhomogeneous Markov model is used. In this model, the initial probabilities are all 1 and each event is independent of that which precedes it ( $a_1 \dots a_k \rightarrow a_{k+1}$  becomes  $N \rightarrow a_1$  because  $k$  is zero). Models of higher order can be used, as described above.

Accordingly, the following hypothetical table of probabilities is used:

	Direct (+)			Reverse (-)			
	1+	2+	3+	1-	2-	3-	N±
T	0.13	0.2 7	0.13	0.10	0.25	0.21	0.20
C	0.28	0.2 6	0.39	0.39	0.21	0.38	0.30
A	0.21	0.2 6	0.09	0.13	0.27	0.13	0.21
G	0.38	0.2 1	0.39	0.38	0.26	0.28	0.29

Without a bias function  $\phi(\sigma)$  to incorporate known information in the calculations,  $P(S|\sigma)$  can be calculated for the zero order case for the sequence GATGACATT according to equations XV through XXI.

$$\begin{aligned}
P(\text{GATGACATT}|1^+) &= P(N) \cdot P_{1+}(G|N) \cdot P_{2+}(A|N) \cdot P_{3+}(T|N) \cdot \\
&\quad P_{1+}(G|N) \cdot P_{2+}(A|N) \cdot P_{3+}(C|N) \cdot \\
&\quad P_{1+}(A|N) \cdot P_{2+}(T|N) \cdot P_{3+}(T|N) \\
&= P_{1+}(G) \cdot P_{2+}(A) \cdot P_{3+}(T) \cdot \\
&\quad P_{1+}(G) \cdot P_{2+}(A) \cdot P_{3+}(C) \cdot \\
&\quad P_{1+}(A) \cdot P_{2+}(T) \cdot P_{3+}(T) \\
&= 0.38 \times 0.26 \times 0.13 \times 0.38 \times 0.26 \times \\
&\quad 0.39 \times 0.21 \times 0.27 \times 0.13 \\
&= 3.6479448 \times 10^{-6}
\end{aligned}$$

(XV)

$$\begin{aligned}
P(\text{GATGACATT}|2^+) &= P_{2+}(G) \cdot P_{3+}(A) \cdot P_{1+}(T) \cdot \\
&\quad P_{2+}(G) \cdot P_{3+}(A) \cdot P_{1+}(C) \cdot \\
&\quad P_{2+}(A) \cdot P_{3+}(T) \cdot P_{1+}(T) \\
&= 0.21 \times 0.09 \times 0.13 \times 0.21 \times 0.09 \times \\
&\quad 0.28 \times 0.26 \times 0.13 \times 0.13 \\
&= 5.71332739 \times 10^{-8}
\end{aligned}$$

(XVI)

$$\begin{aligned}
P(\text{GATGACATT}|3^+) &= P_{3+}(G) \cdot P_{1+}(A) \cdot P_{2+}(T) \cdot \\
&\quad P_{3+}(G) \cdot P_{1+}(A) \cdot P_{2+}(C) \cdot \\
&\quad P_{3+}(A) \cdot P_{1+}(T) \cdot P_{2+}(T) \\
&= 0.39 \times 0.21 \times 0.27 \times 0.39 \times 0.21 \times \\
&\quad 0.26 \times 0.09 \times 0.13 \times 0.27 \\
&= 1.4874917 \times 10^{-6}
\end{aligned}$$

(XVII)

$$\begin{aligned}
P(\text{GATGACATT}|1^-) &= P_{1-}(G) \cdot P_{2-}(A) \cdot P_{3-}(T) \cdot \\
&\quad P_{1-}(G) \cdot P_{2-}(A) \cdot P_{3-}(C) \cdot \\
&\quad P_{1-}(A) \cdot P_{2-}(T) \cdot P_{3-}(T) \\
&= 0.38 \times 0.27 \times 0.21 \times 0.38 \times 0.27 \times \\
&\quad 0.38 \times 0.13 \times 0.25 \times 0.21 \\
&= 5.7332419 \times 10^{-6}
\end{aligned}$$

(XVIII)



$$\begin{aligned}
P(\text{GATGACATT}|2^-) &= P_2-(G) \cdot P_3-(A) \cdot P_1-(T) \cdot \\
&\quad P_2-(G) \cdot P_3-(A) \cdot P_1-(C) \cdot \\
&\quad P_2-(A) \cdot P_3-(T) \cdot P_1-(T) \\
&= 0.26 \times 0.13 \times 0.10 \times 0.26 \times 0.13 \times \\
&\quad 0.39 \times 0.27 \times 0.21 \times 0.10 \\
&= 2.5262776 \times 10^{-7}
\end{aligned}$$

(XIX)

$$\begin{aligned}
P(\text{GATGACATT}|3^-) &= P_3-(G) \cdot P_1-(A) \cdot P_2-(T) \cdot \\
&\quad P_3-(G) \cdot P_1-(A) \cdot P_2-(C) \cdot \\
&\quad P_3-(A) \cdot P_1-(T) \cdot P_2-(T) \\
&= 0.28 \times 0.13 \times 0.25 \times 0.28 \times 0.13 \times \\
&\quad 0.21 \times 0.13 \times 0.10 \times 0.25 \\
&= 2.2607130 \times 10^{-7}
\end{aligned}$$

(XX)

$$\begin{aligned}
P(\text{GATGACATT}|N) &= P_N(G) \cdot P_N(A) \cdot P_N(T) \cdot \\
&\quad P_N(G) \cdot P_N(A) \cdot P_N(C) \cdot \\
&\quad P_N(A) \cdot P_N(T) \cdot P_N(T) \\
&= 0.29 \times 0.21 \times 0.20 \times 0.29 \times 0.21 \times \\
&\quad 0.30 \times 0.21 \times 0.20 \times 0.20 \\
&= 1.8692402 \times 10^{-6}
\end{aligned}$$

(XXI)

Given the values of  $P(S|\sigma)$ , we can determine the probability that the given sequence segment is in state  $\sigma$ ,  $P(\sigma|S)$  using equation XXII (Bayes' Rules):

$$P(\sigma|S) = \frac{P(\sigma) \cdot P(S|\sigma)}{\sum_i [P(i) \cdot P(S|i)]}$$

(XXII)

Equations XXIII through XXIX show the calculations for each of the states.

$$\begin{aligned}
P(1^+|S) &= \frac{P(1^+) \cdot P(S|1^+)}{\sum_i [P(i) \cdot P(S|i)]} \\
&= \frac{\frac{1}{12}(3.6479448 \times 10^{-6})}{\frac{1}{12}(3.6479448 \times 10^{-6}) + \dots + \frac{1}{2}(1.8692402 \times 10^{-6})} \\
&= \frac{3.0399540 \times 10^{-7}}{1.1060761 \times 10^{-6}} \\
&= 0.27484131
\end{aligned}$$

(XXIII)

5

$$\begin{aligned}
P(2^+|S) &= \frac{4.7611061 \times 10^{-9}}{1.1060761 \times 10^{-6}} \\
&= 0.004304501
\end{aligned}$$

(XXIV)

$$\begin{aligned}
P(3^+|S) &= \frac{1.12395764 \times 10^{-7}}{1.1060761 \times 10^{-6}} \\
&= 0.11156173
\end{aligned}$$

(XXV)

$$\begin{aligned}
P(1^-|S) &= \frac{4.7777016 \times 10^{-7}}{1.1060761 \times 10^{-6}} \\
&= 0.43195053
\end{aligned}$$

(XXVI)

20

$$\begin{aligned}
P(2^-|S) &= \frac{2.1052313 \times 10^{-8}}{1.1060761 \times 10^{-6}} \\
&= 0.019033331
\end{aligned}$$

25 (XXVII)

$$\begin{aligned}
P(3^-|S) &= \frac{1.8839275 \times 10^{-8}}{1.1060761 \times 10^{-6}} \\
&= 0.017032531
\end{aligned}$$

(XXVIII)

30

$$\begin{aligned}
 P(N|S) &= \frac{1.557002 \times 10^{-7}}{1.1060761 \times 10^{-6}} \\
 &= 0.14076807
 \end{aligned}$$

(XXIX)

The coding probability function indicates a 43% probability that the sequence is coding in the first reading frame of the reverse-complement strand (-) of the sequence provided, based on the zero order inhomogeneous Markov model used. While the most probable state, it is also true that there is a greater probability (57%) that the sequence is not in that state.

An investigator can apply the bias function method to impose a bias based on prior knowledge of sequence features, such as an EST alignment to the subject sequence, or homology to a previously characterized sequence. For example, given an EST alignment to the subject sequence that implies the sequence is coding on the positive strand, a bias function can be defined that summarizes that observation. Equation XXX is one example of such a function:

$$\phi(\sigma) = \begin{cases} 0.95 & \text{if } \sigma \in \{1^+, 2^+, 3^+\} \\ 0.05 & \text{if } \sigma \notin \{1^+, 2^+, 3^+\} \end{cases}$$

(XXX)

This bias function does not exclude the possibility that the sequence is noncoding or coding on the reverse complement strand, although it does effectively bias the *a priori* probability that the sequence is coding in one of the forward three reading frames. The function above states that the three forward coding states are 19-fold (0.95/0.05) more probable than the other states, which is an assertion by the investigator that he is confident that the EST alignment is correct in indicating that the sequence is coding on that strand.

Given the bias function defined above, the values for  $P'(S|\sigma)$  are determined as before for the unbiased case. To calculate  $P'(\sigma|S)$ , however, equation XXXI is used:

$$P'(\sigma|S) = \frac{\phi(\sigma) \cdot P(\sigma) \cdot P(S|\sigma)}{\sum_i [\phi(i) \cdot P(i) \cdot P(S|i)]}$$

(XXXI)

5 The equations to determine  $P'(\sigma|S)$  for each state are shown in equations XXXII through XXXVIII:

$$\begin{aligned} P'(1^+|S) &= \frac{\phi(1^+) \cdot P(1^+) \cdot P(S|1^+)}{\sum_i [\phi(i) \cdot P(i) \cdot P(S|i)]} \\ &= \frac{0.95 \cdot \frac{1}{12} (3.6479448 \times 10^{-6})}{0.95 \cdot \frac{1}{12} (3.6479448 \times 10^{-6}) + \dots + 0.05 \cdot \frac{1}{2} (1.8692402 \times 10^{-6})} \\ &= \frac{2.8879563 \times 10^{-7}}{4.4399294 \times 10^{-7}} \\ &= 0.65045095 \end{aligned}$$

(XXXII)

$$\begin{aligned} P'(2^+|S) &= 0.95 \frac{\frac{1}{12} \cdot P(S|2^+)}{4.4399294 \times 10^{-7}} \\ &= 0.010187213 \end{aligned}$$

(XXXIII)

$$\begin{aligned} P'(3^+|S) &= 0.95 \frac{\frac{1}{12} \cdot P(S|3^+)}{4.4399294 \times 10^{-7}} \\ &= 0.2652289 \end{aligned}$$

(XXXIV)

$$\begin{aligned} P'(1^-|S) &= 0.05 \frac{\frac{1}{2} \cdot P(S|1^-)}{4.4399294 \times 10^{-7}} \\ &= 0.05380379 \end{aligned}$$

(XXXV)

(XXXVI)

$$\begin{aligned}P'(2^-|S) &= 0.05 \frac{\frac{1}{12} \cdot P(S|2^-)}{4.4399294 \times 10^{-7}} \\&= 0.0023707938\end{aligned}$$

(XXXVII)

$$\begin{aligned}P'(3^-|S) &= 0.05 \frac{\frac{1}{12} \cdot P(S|3^-)}{4.4399294 \times 10^{-7}} \\&= 0.00042392676\end{aligned}$$

(XXXVIII)

$$\begin{aligned}P'(N|S) &= 0.05 \frac{\frac{1}{2} \cdot P(S|N)}{4.4399294 \times 10^{-7}} \\&= 0.0017534085\end{aligned}$$

Given the bias function  $\phi(\sigma)$ , the resulting coding potential calculation indicates a 65% probability that the sequence is coding in the first reading frame on the forward strand. The result represents the coding probability given the assumptions of the investigator stated as the bias function.

### EXAMPLE 3

The following is a copy of the output of a program implementing the method described above with and without a bias function. The following sequence is a genomic sample from the organism *Arabidopsis thaliana*, *landsberg*.

```
TACTCAAAAATATATTCCATGCTTAATTAGGCCGGATTTCGCGGTGACGATGCACCAAGAGCGGTTTTCCGA
GCATTGTAGGCCGTCCTCGCCACACCGGTGTGATGGTTGGGATGGGACAAAAGGATGCTTATGTTGGAGACGAGGCTC
AATCAAAACGTGGTATCTTGACTCTGAAGTACCCAATTGAGCATGGAATTGTTAATAATTGGGATGACATGGAGAAGA
TTTGGCATCACACTTTCTACAATGAGCTTCGTGTTGCCCCCTGAAGAACATCCGGTTCTCTTGACCGAAGCTCCTCTCA
ATCCGAAAGCTAACCGTGAGAAGATGACTCAGATCATGTTTGAGACATTCAATACTCCTGCTATGTATGTTGCCATTC
AAGCTGTTCTCTCACTCTATGCCAGTGGCCGTACTACTGGTCAGTACATTACTACATTCTTTTTATACCGTTTGGTTG
AAATAAAATTCGGTTTGGTTTCGATTTCGAGTTTGCTCTCATTATTTTTATTTTGGTTAGGTATTGTTTGGACTCC
GGAGATGGTGTGAGCCACACGGTACCAATCTACGAGGGTTATGCACCTCCACACGCAATCCTGCGTCTTGATCTTGCA
GGTCGTGACCTAACCGACCACCTTATGAAAATCCTGACAGAGCGTGGTTACTCTTTCACCACAACCTGCTGAGCGTGAG
```





[illegible]

5

10

15

20

25

30

35

40

45

50











(XXXIX)

(XL)

1978	1979
1980	1981
1982	1983
1984	1985
1986	1987
1988	1989
1990	1991
1992	1993
1994	1995
1996	1997
1998	1999
2000	2001
2002	2003
2004	2005
2006	2007
2008	2009
2010	2011
2012	2013
2014	2015
2016	2017
2018	2019
2020	2021
2022	2023
2024	2025
2026	2027
2028	2029
2030	2031
2032	2033
2034	2035
2036	2037
2038	2039
2040	2041
2042	2043
2044	2045
2046	2047
2048	2049
2050	2051
2052	2053
2054	2055
2056	2057
2058	2059
2060	2061
2062	2063
2064	2065
2066	2067
2068	2069
2070	2071
2072	2073
2074	2075
2076	2077
2078	2079
2080	2081
2082	2083
2084	2085
2086	2087
2088	2089
2090	2091
2092	2093
2094	2095
2096	2097
2098	2099
2100	2101
2102	2103
2104	2105
2106	2107
2108	2109
2110	2111
2112	2113
2114	2115
2116	2117
2118	2119
2120	2121
2122	2123
2124	2125
2126	2127
2128	2129
2130	2131
2132	2133
2134	2135
2136	2137
2138	2139
2140	2141
2142	2143
2144	2145
2146	2147
2148	2149
2150	2151
2152	2153
2154	2155
2156	2157
2158	2159
2160	2161
2162	2163
2164	2165
2166	2167
2168	2169
2170	2171
2172	2173
2174	2175
2176	2177
2178	2179
2180	2181
2182	2183
2184	2185
2186	2187
2188	2189
2190	2191
2192	2193
2194	2195
2196	2197
2198	2199
2200	2201
2202	2203
2204	2205
2206	2207
2208	2209
2210	2211
2212	2213
2214	2215
2216	2217
2218	2219
2220	2221
2222	2223
2224	2225
2226	2227
2228	2229
2230	2231
2232	2233
2234	2235
2236	2237
2238	2239
2240	2241
2242	2243
2244	2245
2246	2247
2248	2249
2250	2251
2252	2253
2254	2255
2256	2257
2258	2259
2260	2261
2262	2263
2264	2265
2266	2267
2268	2269
2270	2271
2272	2273
2274	2275
2276	2277
2278	2279
2280	2281
2282	2283
2284	2285
2286	2287
2288	2289
2290	2291
2292	2293
2294	2295
2296	2297
2298	2299
2300	2301
2302	2303
2304	2305
2306	2307
2308	2309
2310	2311
2312	2313
2314	2315
2316	2317
2318	2319
2320	2321
2322	2323
2324	2325
2326	2327
2328	2329
2330	2331
2332	2333

20  
25  
30  
35  
40

















## We Claim

1. A method for determining a probability for one or more states for a nucleotide in a nucleic acid sequence, comprising:

- a) determining an initial oligonucleotide probability for each of said states for an initial oligonucleotide in said nucleic acid sequence;
- b) determining transition probabilities for each of said states for nucleotides within said nucleic acid sequence following said initial oligonucleotide;
- c) determining a probability for said nucleic acid sequence for each of said states; and,
- d) determining a probability for each of said states for said nucleotide based upon said probability of said nucleic acid sequence and a bias.

2. The method of claim 1, wherein said probability for each of said states for said nucleotide is determined using an inhomogeneous Markov model having eight states, wherein said eight states are: first reading frame positive strand (1+); second reading frame positive strand (2+); third reading frame positive strand (3+); first reading frame negative strand (1-); second reading frame negative strand (2-); third reading frame negative strand (3-); noncoding positive strand (N+); and, noncoding negative strand (N-).

3. The method of claim 2, wherein said probability for each of said eight states for said nucleotide in step e) is determined using the equation

$$P(f|S) = \frac{\phi(f) \cdot P_f \cdot P_f(S)}{\sum_{i \in \{1+, 2+, 3+, N+, 1-, 2-, 3-, N-\}} \phi(f) \cdot P_i \cdot P_i(S)}$$

4. The method of claim 1, wherein said nucleotide is the middle nucleotide in said nucleic acid sequence.

5. The method of claim 1, wherein said nucleic acid sequence is part of a longer nucleic acid sequence.

6. The method of claim 1, wherein said bias is between 0.0 and 0.9 or greater than 1.1.

7. A method for determining a probability for one or more states for a nucleotide in a nucleic acid sequence, comprising:

a) determining an initial oligonucleotide probability for each of said states for an initial oligonucleotide in said nucleic acid sequence;

b) determining transition probabilities for each of said states for nucleotides within said nucleic acid sequence following said initial oligonucleotide;

c) determining a probability for said nucleic acid sequence for each of said states; and,

d) determining a probability for each of said states for said nucleotide based upon said probability of said nucleic acid sequence, wherein said determining a probability for each of said states is capable of accepting a bias.

8. A method for determining a probability for each of one or more states for more than one nucleotide in a nucleic acid sequence comprising:

a) determining an initial oligonucleotide probability for each of said states for an initial oligonucleotide in a window of a first nucleotide;

b) determining transition probabilities for each of said states for nucleotides within said window following said initial oligonucleotide;

c) determining a probability for said window for each of said states;

d) determining a probability for each of said states for said nucleotide based upon said probability for said window and a bias; and,

e) repeating steps a) through d) for each remaining nucleotide in said nucleic acid sequence.

9. The method of claim 8, wherein said more than one nucleotide are contiguous, and step e) is performed sequentially from said first nucleotide to a last nucleotide.

10. The method of claim 9, wherein said probability for each of said states for said more than one nucleotide is determined using an inhomogeneous Markov model having eight states, wherein said eight states are: first reading frame positive strand (1+); second reading frame positive strand (2+); third reading frame positive strand (3+); first reading frame negative strand (1-); second reading frame negative strand (2-); third reading frame negative strand (3-); noncoding positive strand (N+); and, noncoding negative strand (N-).

11. The method of claim 10, wherein said probability for each of said states for said more than one nucleotide is determined using the equation

$$P(f|S) = \frac{\phi(f) \cdot P_f \cdot P_f(S)}{\sum_{i \in \{1+, 2+, 3+, N+, 1-, 2-, 3-, N-\}} \phi(f) \cdot P_i \cdot P_i(S)}$$

12. The method of claim 8, wherein said nucleic acid sequence is part of a longer nucleic acid sequence.

13. The method of claim 8, wherein each nucleotide in said more than one nucleotide is the middle nucleotide in its own window.

14. The method of claim 8, further comprising:

f) extending said nucleic acid sequence if said window extends beyond either end of said nucleic acid sequence, wherein said extending is accomplished by copying nucleotides from an end of said nucleic acid sequence at which said window is located to produce a copied nucleotide sequence, and adding said copied nucleotide sequence to said end.

15. The method of claim 8, wherein said window has a length of about 75 to about 125.

16. The method of claim 8, wherein said bias is between 0.0 and 0.9 or greater than 1.1.

17. A method for determining strand coding of a nucleic acid sequence, comprising:

- a) determining a probability of each of one or more states for each nucleotide in said nucleic acid sequence based upon a bias, wherein each of said states is either a positive strand state or a negative strand state;
- b) summing said probabilities of said positive strand states for each of said nucleotides to produce a sum of probabilities for positive states;
- c) summing said probabilities of said negative strand states for each of said nucleotides to produce a sum of probabilities for negative states; and,
- d) deciding one of
  - i) coding is mixed or not detectable if a first function of said sum of probabilities for positive states and said sum of probabilities for negative states is less than a threshold value;
  - ii) coding is on said positive strand if a second function of said sum of probabilities for positive states is greater than a third function of said sum of probabilities for negative states and said first function is not less than said threshold value; and
  - iii) coding is on said negative strand if said second function of said sum of probabilities for positive states is not greater than said third function of said sum of probabilities for negative states and said first function is not less than said threshold value.

18. The method of claim 17, wherein said sum of probabilities for positive states is X, said sum of probabilities for negative states is Y and said first function is  $f(X, Y) = \frac{|X - Y|}{(X + Y)}$ .

19. The method of claim 18, wherein said threshold value is from about 0.4 to about 0.6.

20. The method of Claim 17, wherein said sum of probabilities for positive states is X, said sum of probabilities for negative states is Y, said second function is  $f(X)=X$ , and said third function is  $f(Y)=Y$ .



21. The method of claim 17, wherein step a) comprises:

e) determining an initial oligonucleotide probability for each of said states for an initial oligonucleotide in a window of a first nucleotide;

f) determining transition probabilities for each of said states for nucleotides within said window following said initial oligonucleotide;

g) determining a probability for said window for each of said states;

h) determining a probability for each of said states for said nucleotide based upon said probability for said window and a bias; and,

i) repeating steps e) through h) for each remaining nucleotide in said nucleic acid sequence.

22. A method for determining the extent of an open reading frame within a nucleic acid sequence, comprising:

a) determining the probability of each of one or more states for each nucleotide in said nucleic acid sequence based upon a bias, wherein each of said states is either a coding state or a noncoding state;

b) determining the coding strand of said nucleic acid sequence; and,

c) determining the points within said nucleic acid sequence in said coding strand at which the sum of the probabilities of said coding states for each nucleotide drops below a first threshold value for a number of nucleotides greater than a second threshold value, wherein ends of said open reading frame are indicated at said points.

23. The method of claim 22, wherein said first threshold value is about 0.4 to about 0.6.

24. The method of claim 22, wherein said second threshold value is about 500 to about 700.

25. The method of claim 22, wherein step c) comprises:

d) determining the sum of said coding states for a middle nucleotide located in said nucleic acid sequence;

e) repeating step d) sequentially for nucleotides located on a first side of said middle nucleotide until either

i) the sum of the probabilities of said coding states drops below said first threshold value for a number of nucleotides greater than said second threshold value, or

ii) an end of said nucleic acid sequence is reached,

at which point an end of the open reading frame is indicated; and,

f) repeating step e) for nucleotides located on a second side of said middle nucleotide.

26. The method of claim 22, wherein said nucleic acid sequence is part of a longer nucleic acid sequence.

27. The method of claim 22, wherein step b) comprises

d) summing probabilities of positive strand states for each of said nucleotides to produce a sum of probabilities for positive states;

e) summing probabilities of negative strand states for each of said nucleotides to produce a sum of probabilities for negative states; and,

f) deciding one of

i) coding is mixed or not detectable if a first function of said sum of probabilities for positive states and said sum of probabilities for negative states is less than a threshold value;

ii) coding is on said positive strand if a second function of said sum of probabilities for positive states is greater than a third function of said sum of probabilities for negative states and said first function is not less than said threshold value; and

iii) coding is on said negative strand if said second function of said sum of probabilities for positive states is not greater than said third function of said sum of probabilities for negative states and said first function is not less than said threshold value.

28. The method of claim 22, wherein step a) comprises:

d) determining an initial oligonucleotide probability for each of said states for an initial oligonucleotide in a window of a first nucleotide;

e) determining transition probabilities for each of said states for nucleotides within said window following said initial oligonucleotide;

f) determining a probability for said window for each of said states;

g) determining a probability for each of said states for said nucleotide based upon said probability for said window and a bias; and,

h) repeating steps d) through g) for each remaining nucleotide in said nucleic acid sequence.

29. A method for determining the location of insertions and deletions within a nucleic acid sequence, comprising:

a) determining the probability of each of one or more states for each nucleotide in said nucleic acid sequence based upon a bias, wherein each of said states is either a coding state or a noncoding state;

b) setting a length for a window;

c) determining which state has a maximum mean probability for said nucleic acid sequence on a first side of a middle nucleotide in said window, wherein said window begins at a first nucleotide;

d) determining which state has a maximum mean probability for said nucleic acid sequence on a second side of said middle nucleotide in said window;

e) determining that a deletion or insertion occurred at said middle nucleotide if

i) said state with said maximum mean probability on said first side of said middle nucleotide is different from said state with said maximum mean probability on said second side of middle nucleotide, and

ii) either an average of hypothetical state probabilities for said window with an insertion at said middle nucleotide or an average of hypothetical state probabilities for said window with a deletion at said middle nucleotide is greater than a sum of said middle nucleotide's coding states probabilities; and,

f) repeating steps c) through e) for each remaining nucleotide in said nucleic acid sequence after said first nucleotide, wherein said window begins at each remaining nucleotide in turn.

30. The method of claim 29, further comprising:

g) determining that a deletion occurred if said average of hypothetical state probabilities for said window with an insertion at said middle nucleotide is greater than an average hypothetical state probabilities for said window with a deletion at said middle nucleotide or that an insertion occurred if said average hypothetical state probabilities for said window with an insertion at said middle nucleotide is not greater than an average of hypothetical state probabilities for said window with a deletion at said middle nucleotide.

31. The method of claim 29, wherein said nucleic acid sequence is part of a longer nucleic acid sequence.

32. The method of claim 29, wherein said repeating in step f) is performed sequentially from said first nucleotide to a last nucleotide.

33. The method of claim 29, wherein said window is about 75 to about 125.

34. The method of claim 29, wherein step a) comprises:

g) determining an initial oligonucleotide probability for each of said states for an initial oligonucleotide in a window of a first nucleotide;

h) determining transition probabilities for each of said states for nucleotides within said window following said initial oligonucleotide;

i) determining a probability for said window for each of said states;

j) determining a probability for each of said states for said nucleotide based upon said probability for said window and a bias; and,

k) repeating steps g) through j) for each remaining nucleotide in said nucleic acid sequence.

35. A method for determining exon location within a nucleic acid sequence, comprising

a) determining the probability of each of one or more states for each nucleotide in said nucleic acid sequence based upon a bias, wherein each of said states is either a coding state or noncoding state;

b) determining the coding strand of said nucleic acid sequence;

c) determining the extent of an open reading frame within said nucleic acid sequence;

d) classifying each nucleotide in a coding class or a noncoding class based on a most probable state for said coding strand;

e) reclassifying each nucleotide according to defined rules; and,

f) determining that regions of said nucleic acid sequence in said coding class are exons.

36. The method of claim 35, wherein step e) comprises:

g) reclassifying a noncoding nucleotide to a class of an adjacent nucleotide on a first side of said noncoding nucleotide and an adjacent nucleotide on a second side of said noncoding nucleotide if said adjacent nucleotide on said first side and said adjacent nucleotide on said second side all are of a single class;

h) reclassifying a nucleotide to a class of two adjacent nucleotides on a first side and two adjacent nucleotides on a second side if said two adjacent nucleotides on said first side and said two adjacent nucleotides on said second side all are of a single class;

i) reclassifying a first pair of adjacent nucleotides having a same class to a class of two adjacent nucleotides on a first side of said first pair and two adjacent nucleotides on a second side of said first pair if said two adjacent nucleotides on said first side and said two adjacent nucleotides on said second side all are of a single class;

j) reclassifying a second pair of adjacent nucleotides having a same class to a class of an adjacent nucleotide on a first side of said second pair and an adjacent nucleotide on a second side of said second pair if said adjacent nucleotide on said first side and said adjacent nucleotide on said second side both are of a single class;

k) reclassifying a nucleotide to a class of an adjacent nucleotide on a first side of said single nucleotide and an adjacent nucleotide on a second side of said nucleotide if said adjacent

nucleotide on said first side and said adjacent nucleotide on said second side both are of a single class;

l) reclassifying a continuous sequence of less than a defined minimum number of nucleotides in a noncoding class having nucleotides in a coding class on both sides to a coding class of flanking nucleotides; and,

m) reclassifying a coding segment comprising more than one class of nucleotides to a most common class in said segment.

37. The method of claim 35, wherein step b) comprises:

g) summing probabilities of positive strand states for each of said nucleotides to produce a sum of probabilities for positive states;

h) summing probabilities of negative strand states for each of said nucleotides to produce a sum of probabilities for negative states; and,

i) deciding one of

I) coding is mixed or not detectable if a first function of said sum of probabilities for positive states and said sum of probabilities for negative states is less than a threshold value;

II) coding is on said positive strand if a second function of said sum of probabilities for positive states is greater than a third function of said sum of probabilities for negative states and said first function is not less than said threshold value; and

III) coding is on said negative strand if said second function of said sum of probabilities for positive states is not greater than said third function of said sum of probabilities for negative states and said first function is not less than said threshold value.

38. The method of claim 35, wherein step c) comprises:

g) determining the points within said nucleic acid sequence in said coding strand at which a sum of the probabilities of coding states for each nucleotide drops below a first threshold value for a number of nucleotides greater than a second threshold value, wherein ends of an open reading frame are indicated at said points.

39. The method of claim 35, wherein step a) comprises:

g) determining an initial oligonucleotide probability for each of said states for an initial oligonucleotide in a window of a first nucleotide;

h) determining transition probabilities for each of said states for nucleotides within said window following said initial oligonucleotide;

i) determining a probability for said window for each of said states;

j) determining a probability for each of said states for said nucleotide based upon said probability for said window and a bias; and,

k) repeating steps g) through j) for each remaining nucleotide in said nucleic acid sequence.

40. The method of claim 35, further comprising:

g) translating said exons to determine a protein sequence.

41. A method for determining a probability for one or more states for a nucleotide in a nucleic acid sequence, comprising determining a probability for each of said states for said nucleotide based upon a probability of said nucleic acid sequence and a bias.

42. A method for determining a probability for each of one or more states for more than one nucleotide in a nucleic acid sequence comprising:

a) determining a probability for each of said states for a first nucleotide in said nucleic acid sequence based upon a probability of a window in which said first nucleotide is located and a bias; and,

b) repeating step a) for the remaining nucleotides in said nucleic acid sequence.

43. A program storage device readable by a machine, tangibly embodying a program of instructions executable by a machine to perform method steps to determine a probability for each of one or more states for a nucleotide in a nucleic acid sequence, said method steps comprising:

a) determining an initial oligonucleotide probability for each of said states for an initial oligonucleotide in said nucleic acid sequence;

b) determining transition probabilities for each of said states for nucleotides within said nucleic acid sequence following said initial oligonucleotide;

c) determining a probability for said nucleic acid sequence for each of said states; and,

d) determining a probability for each of said states for said nucleotide based upon said probability of said nucleic acid sequence and a bias.

44. A program storage device readable by a machine, tangibly embodying a program of instructions executable by a machine to perform method steps to determine a probability for one or more states for more than one nucleotide in a nucleic acid sequence, said method steps comprising:

a) determining an initial oligonucleotide probability for each of said states for an initial oligonucleotide in a window of a first nucleotide;

b) determining transition probabilities for each of said states for nucleotides within said window following said initial oligonucleotide;

c) determining a probability for said window for each of said states;

d) determining a probability for each of said states for said nucleotide based upon said probability for said window and a bias; and,

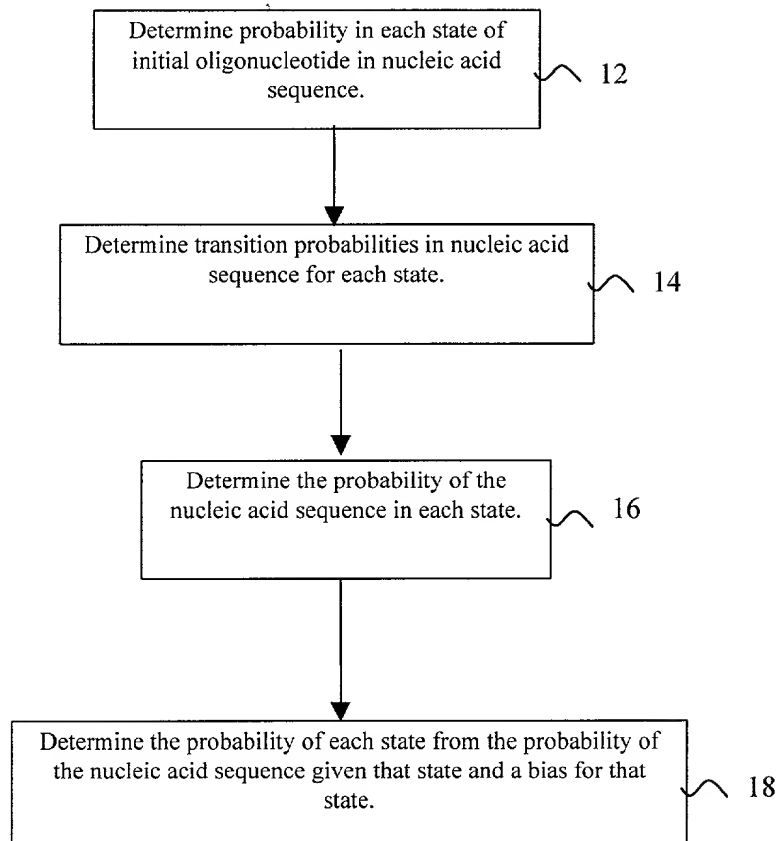
e) repeating steps a) through d) for each remaining nucleotide in said nucleic acid sequence.



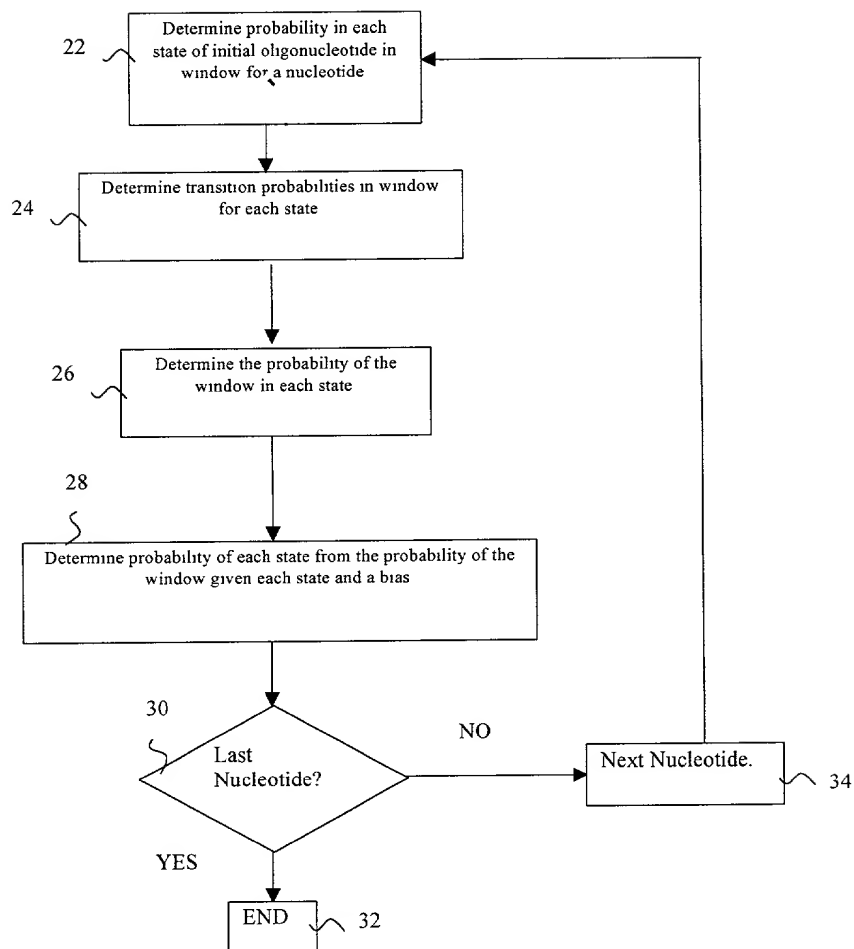
### Abstract

The present invention is in the field of bioinformatics, particularly as it pertains to gene prediction. More specifically, the invention relates to the probabilistic analysis of nucleic acid sequences for the determination of coding features, including determination of state probabilities for each nucleotide in a nucleic acid sequence, determination of coding strand, determination of open reading frame extent, determination of insertion and deletion location, determination of exon location, and determination of protein sequence.

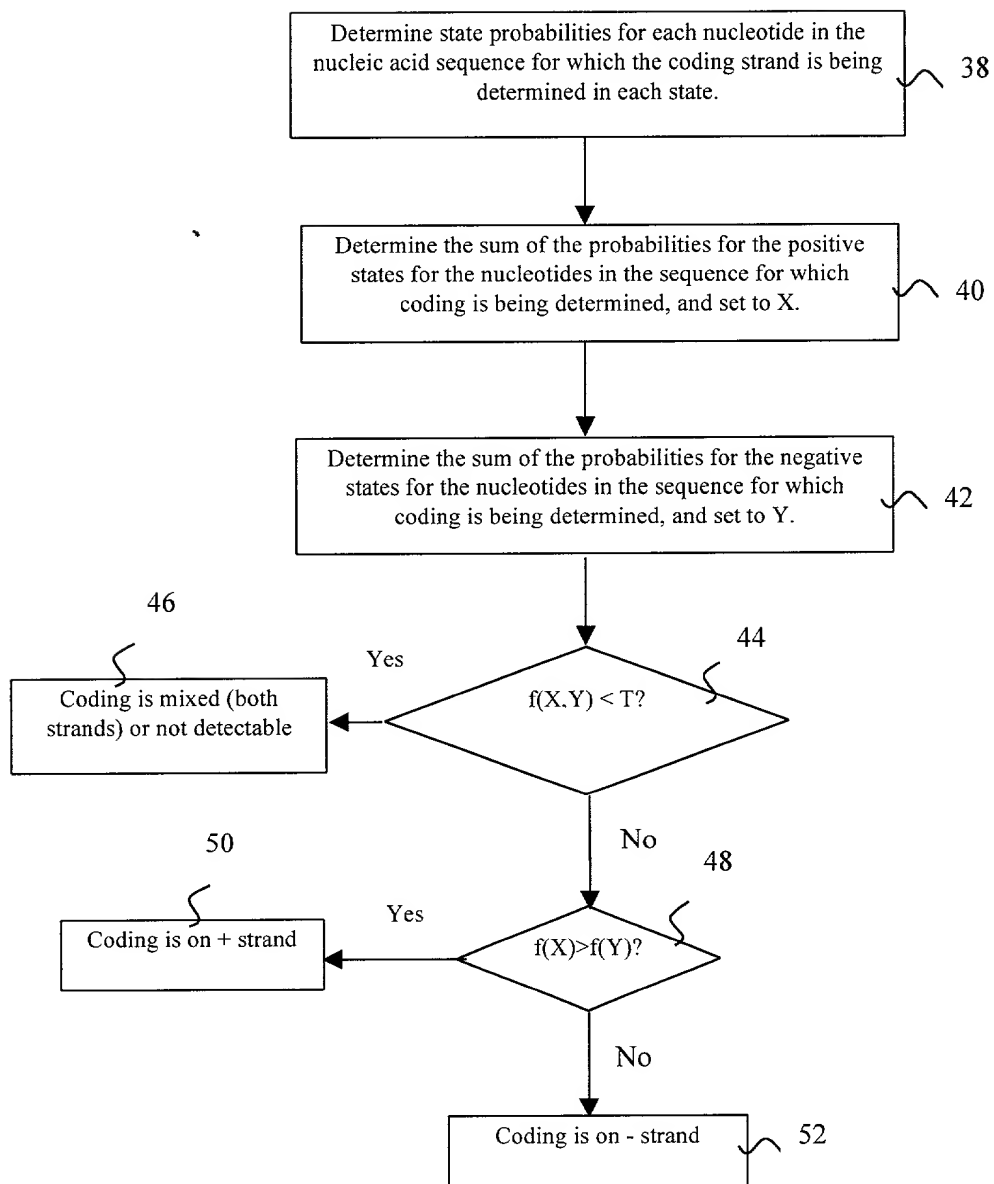
DocId:31863603



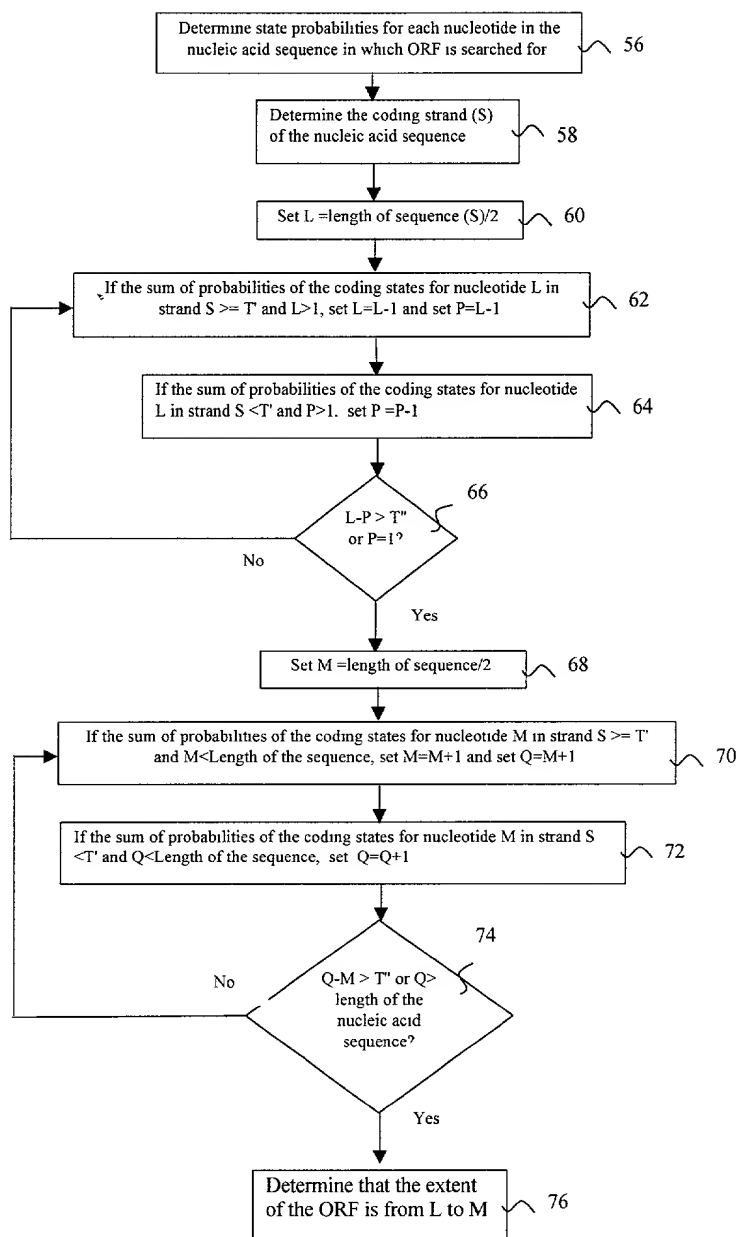
*Figure 1*



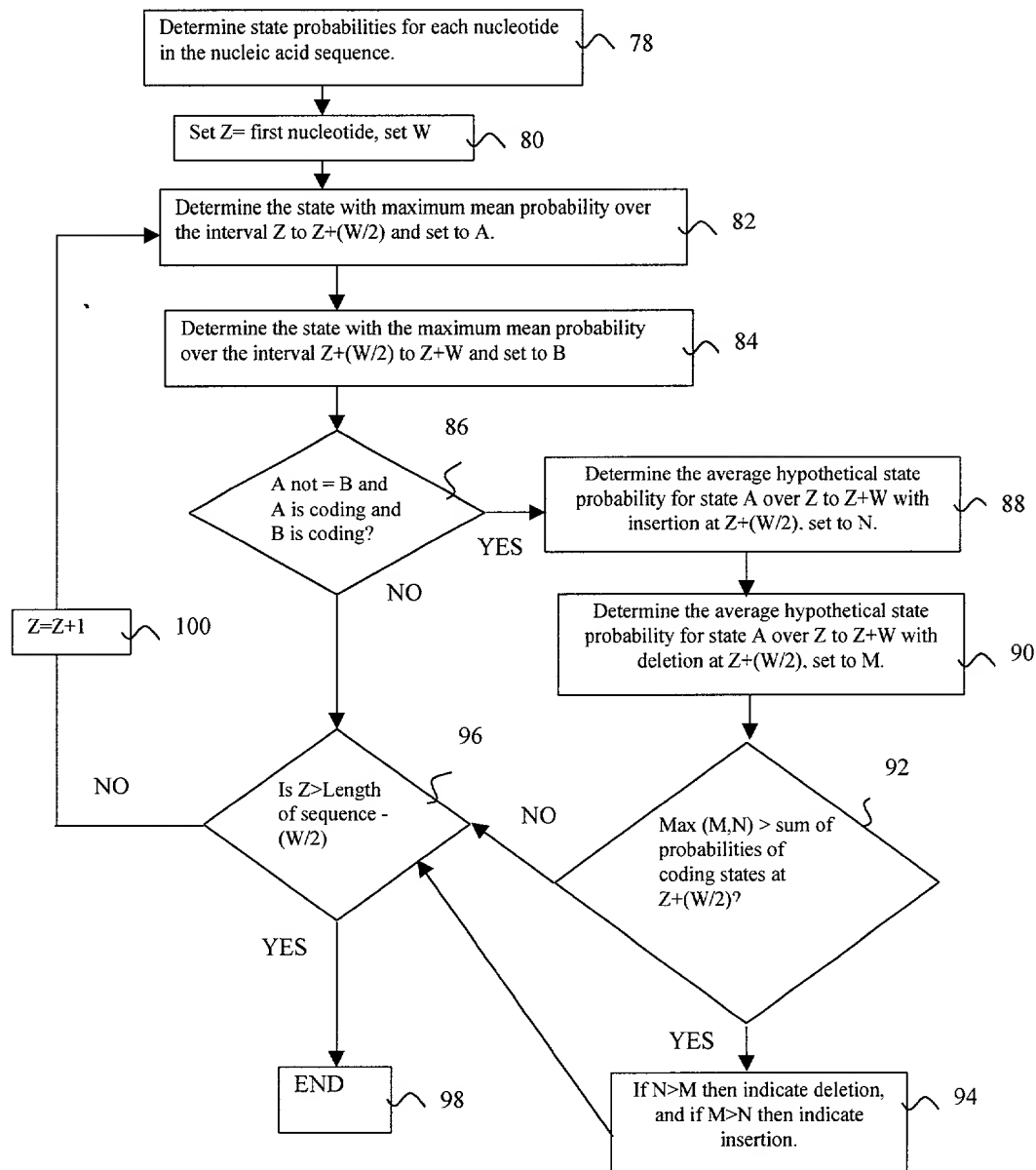
*Figure 2*



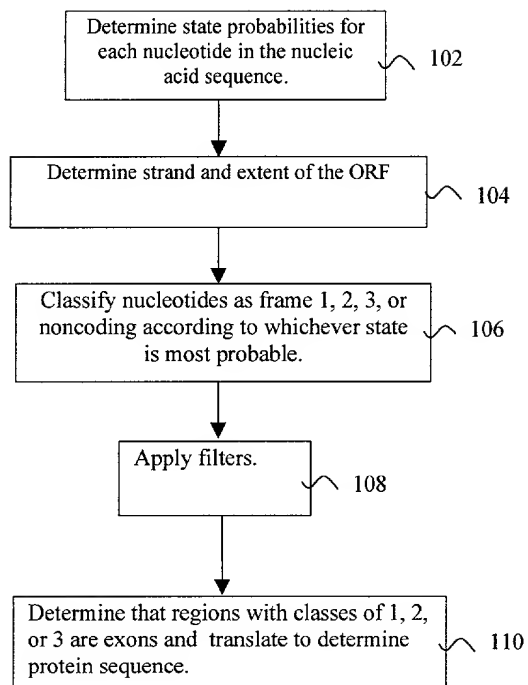
*Figure 3*



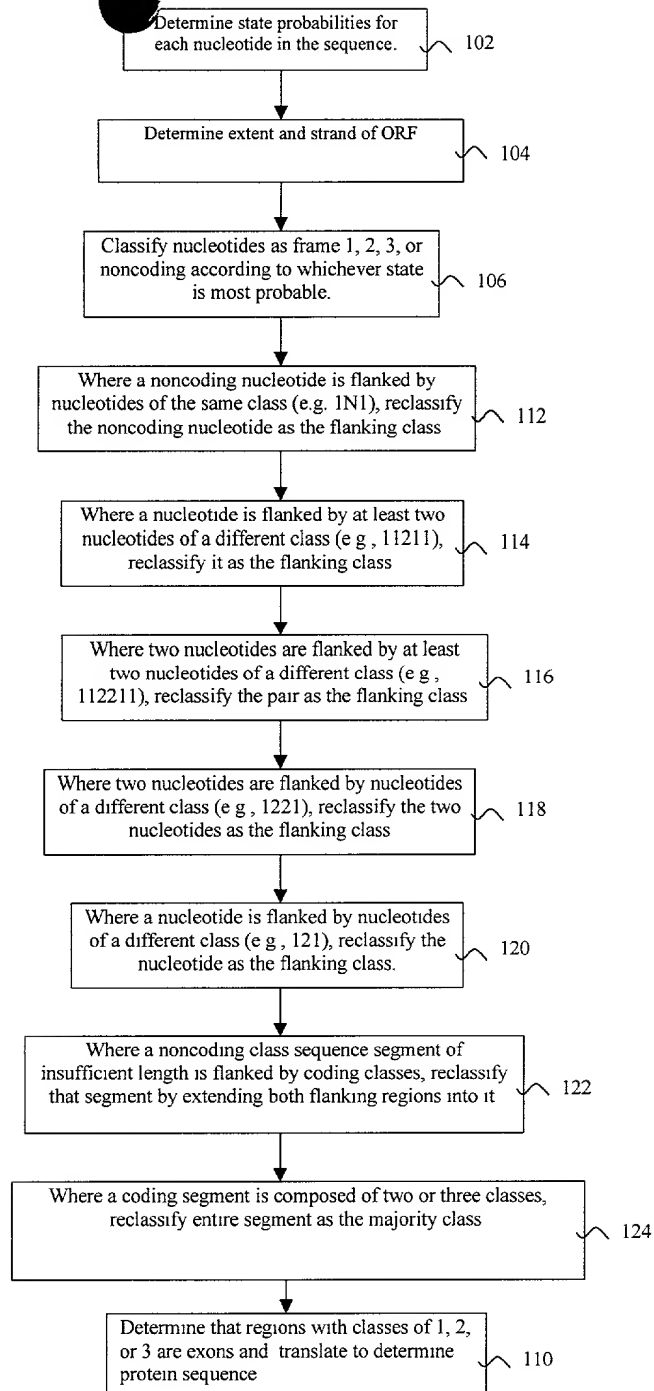
*Figure 4*



*Figure 5*

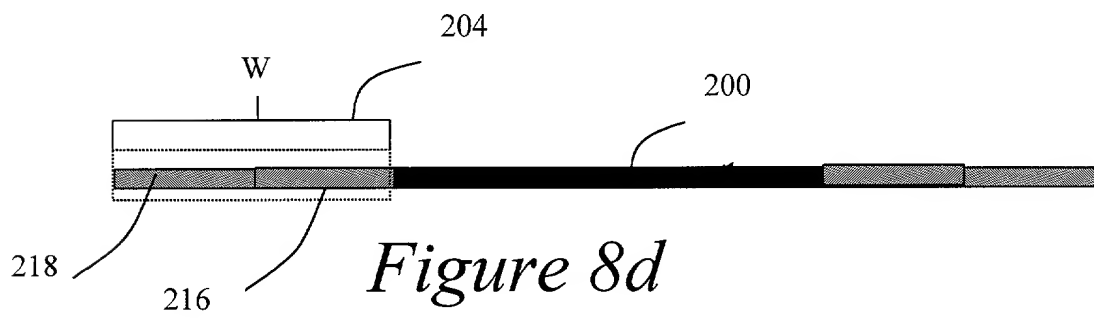
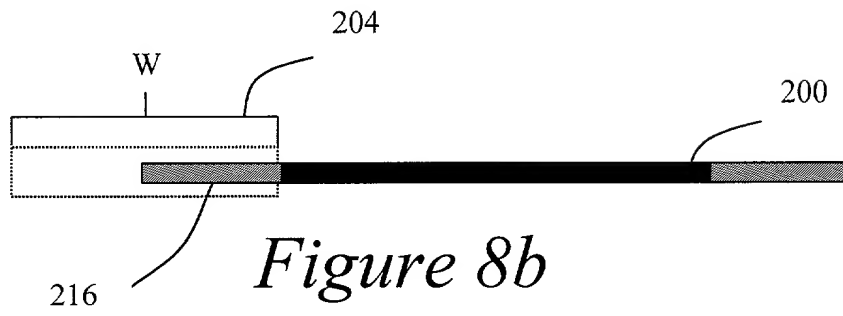
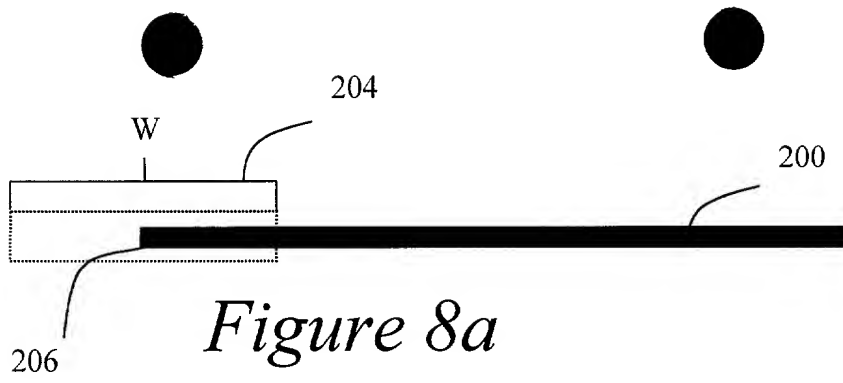


*Figure 6*



*Figure 7*





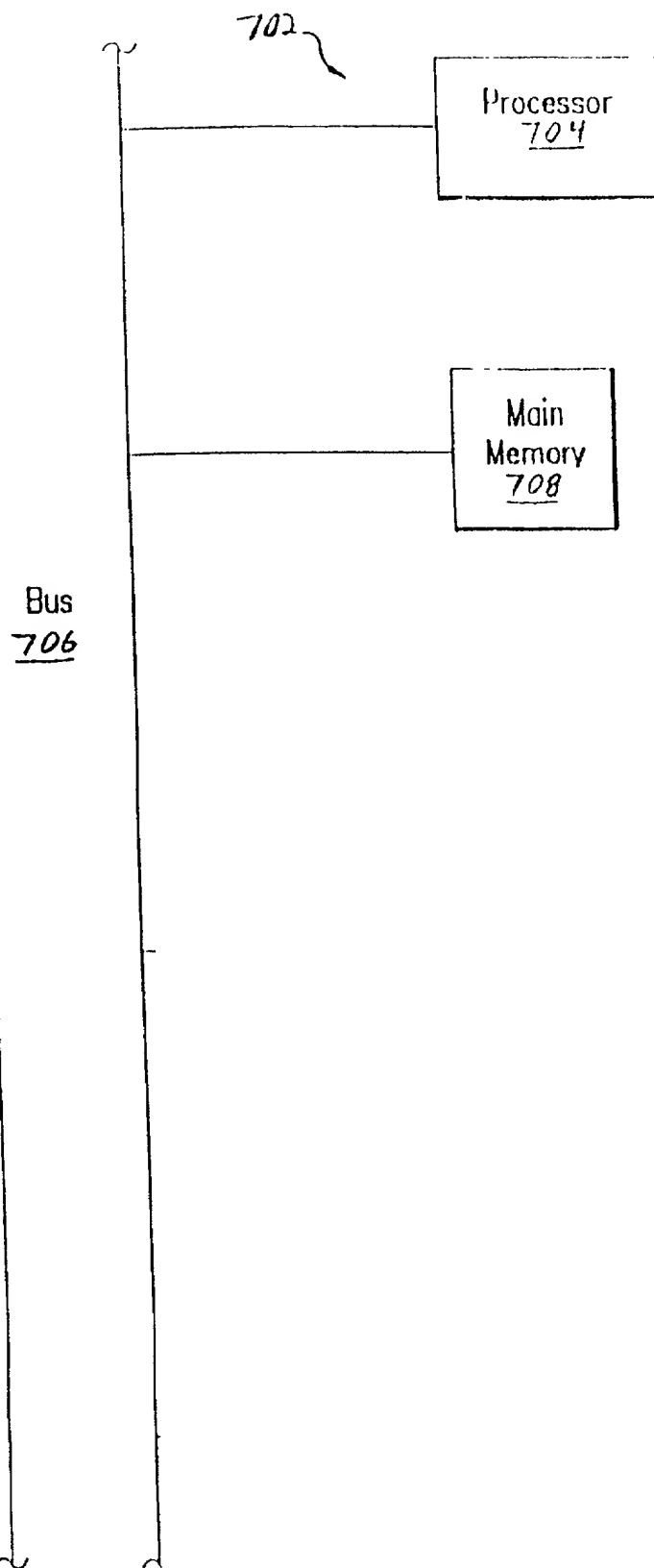


Figure 9a

000007 00000000

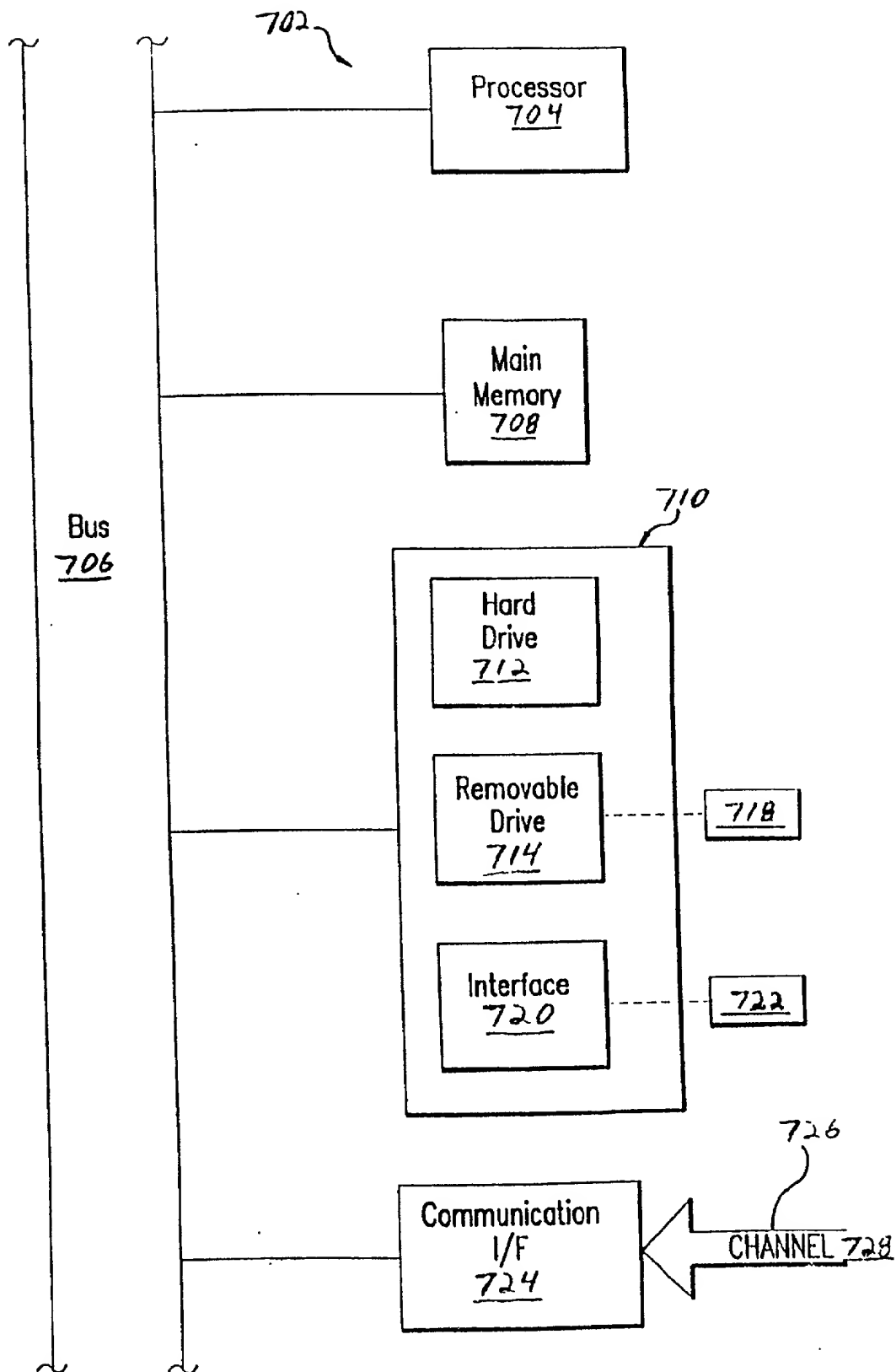
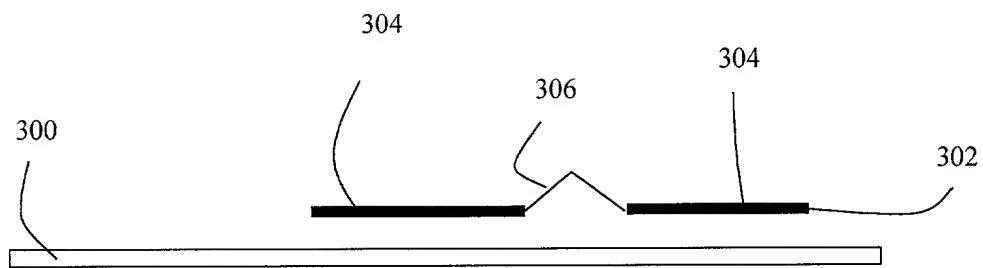
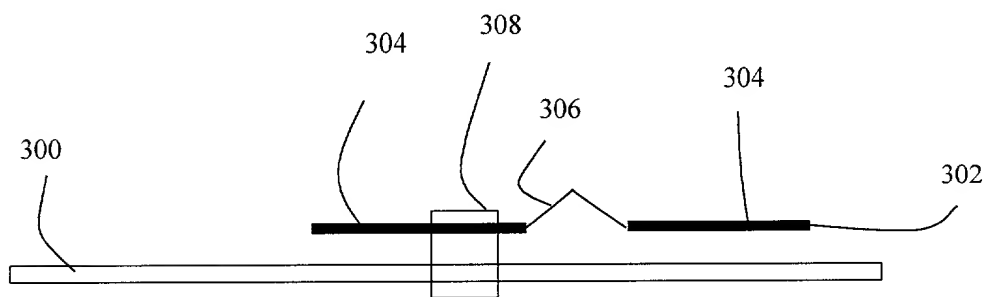


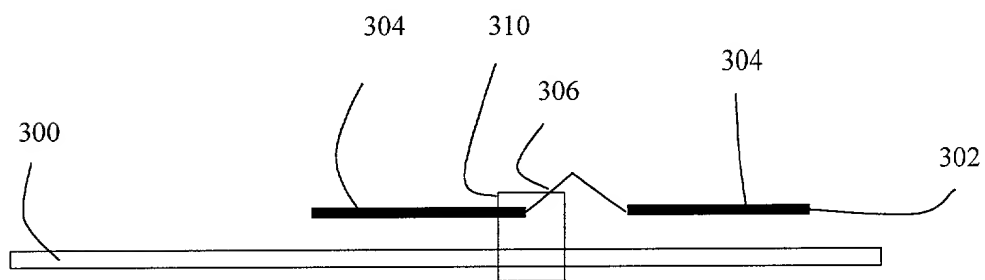
Figure 9b



*Figure 10a*



*Figure 10b*



*Figure 10c*

---

COMBINED DECLARATION AND POWER OF ATTORNEY

---

As a below named inventor, I hereby declare that:

- (A) This declaration is for an original application.
- (B) My residence, post office address and citizenship are as stated below, next to my name. I believe that I am an original, first and sole inventor of the subject matter that is claimed, and for which a patent is sought on the invention entitled: **COMPUTATIONAL NUCLEIC ACID CODING AND FEATURE ANALYSIS.**
- (C) The specification of which is attached.
- (D) I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.
- (E) I acknowledge the duty to disclose information, which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56.
- (F) I hereby appoint the following registered practitioners to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Lawrence M. Lavin, Jr., Reg. No. 30,768  
Donna E. Scherer, Reg. No. 34,719  
Linda T. Parker, Reg. No. 46,046  
Michael J. Bell, Reg. No. 39,604  
John A. Bendrick, Reg. No. 41,612  
Andrew S. Brenc, Reg. No. 45,534  
Celine T. Callahan, Reg. No. 34,301

Dennis R. Hoerner, Jr., Reg. No. 30,914  
Thomas E. Kelley, Reg. No. 29,938  
Jian S. Zhou, Reg. No. 41,422  
Leslie L. Jacobs, Jr., Reg. No. 40,659  
Derek J. Jardieu, Reg. No. 44,483  
Patricia A. Kammerer, Reg. No. 29,775  
Viola T. Kung, Reg. No. 41,131

Jenny W. Chen, Reg. No. 44,604  
June E. Cohan, Reg. No. 43,741  
Mary S. Consalvi, Reg. No. 32,212  
James F. Davis, Reg. No. 21,072  
Thomas M. Dunham, Reg. No. 39,965  
Stephen E. Edwards, Reg. No. 38,865  
Joel M. Freed, Reg. No. 25,101  
Alan M. Grimaldi, Reg. No. 26,599  
J. Jay Guiliano, Reg. No. 41,810  
Albert P. Halluin, Reg. No. 25,227

Robert C. Laurenson, Reg. No. 34,206  
Joseph P. Lavelle, Reg. No. 31,036  
David R. Marsh, Reg. No. 41,408  
Matthew J. Moore, Reg. No. 42,012  
M. Todd Rands, Reg. No. 46,249  
Richard San Pietro, Reg. No. 45,071  
Charles Bret Seaton, Reg. No. 46,171  
Michael J. Stimson, Reg. No. 45,429  
William K. West, Jr., Reg. No. 22,057  
Robert J. Worrall, Reg. No. 37,969

SEND ALL CORRESPONDENCE TO:

DIRECT TELEPHONE CALLS TO:

David R. Marsh, Esq.  
HOWREY SIMON ARNOLD & WHITE  
1299 Pennsylvania Avenue, N.W.  
Box 34  
Washington, DC 20004-2402

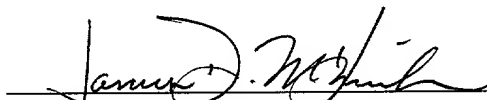
(202) 783-0800

(H) **DECLARATION:** I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**SIGNATURE**

James D. McIninch

**Inventor's signature**



**Date** 10/26/2000

**Country of Citizenship** United States of America

**Residence** Burlington, MA, USA

**Post Office Address** 43 Beaverbrook Road  
Burlington, MA 01803

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

James D. McININCH

Appl. No. To be assigned

Filed: October 30, 2000

For: **Computational Nucleic Acid  
Coding and Feature Analysis**

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 04983.0220.00US00/  
38-10(15494)A

**Statement Regarding Sequence Submission**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with 37 C.F.R. § 1.821(f), the paper copy of the Sequence Listing and the computer readable copy of the Sequence Listing submitted herewith in the above-mentioned application are the same.

In accordance with 37 C.F.R. § 1.821(g), this submission includes no new matter.

Respectfully submitted,



David R. Marsh (Reg. No. 41,408)

Andrew S. Brenc (Reg. No. 45,534)

Date: October 30, 2000

HOWREY SIMON ARNOLD & WHITE, LLP  
Box No. 34  
1299 Pennsylvania Avenue, N.W.  
Washington, D.C. 20004-2402  
(202) 783-0800

# SEQUENCE LISTING

<110> McIninch, James

<120> COMPUTATIONAL NUCLEIC ACID CODING AND FEATURE ANALYSIS

<130> 04983.0220.00US00

<160> 4

<170> PatentIn version 3.0

<210> 1

<211> 2165

<212> DNA

<213> Arabidopsis thaliana

<220>

<221> unsure

<222> (1)...(2165)

<223> Unsure at all n locations

<220>

<223> Ecotype Landsberg, genomic DNA

<400> 1

tactcaaaaa tatattccat gcttaattag gccggattcg cggtgacgat gcaccaagag	60
cggtttttcc gagcattgta ggccgtcctc gccacaccgg tgtgatgggt gggatgggac	120
aaaaggatgc ttatgttga gacgaggctc aatcaaaacg tggatatcttg actctgaagt	180
accaattga gcatggaatt gtaataatt gggatgacat ggagaagatt tggcatcaca	240
ctttctacaa tgagcttcgt gttgcccctg aagaacatcc ggttctcttg accgaagctc	300
ctctcaatcc gaaagctaac cgtgagaaga tgactcagat catgtttgag acattcaata	360
ctcctgctat gtatgttgcc attcaagctg ttctctcact ctatgccagt ggccgtacta	420
ctggtcagta cattactaca ttctttttat accggttggt tgaaataaaa ttcggtttgg	480
ttcgattcga gtttgctctc attattttta ttttggtggt taggtattgt tttggactcc	540
ggagatgggtg tgagccacac ggtaccaatc tacgaggggt atgcacttcc acacgcaatc	600
ctgcgtcttg atcttgcagg tcgtgaccta accgaccacc ttatgaaaat cctgacagag	660
cgtgggttact ctttcaccac aactgctgag cgtgagattg ttagagacat gaaggagaag	720
ctctcttaca ttgccttgga ctttgaacaa gagctcgaga cttccaaaac aagctcatcc	780
gttgagaaga gcttcgagct gccagacggt caagtgatca ccatcggggc agagcgtttc	840
cgatgccctg aagttctggt tcagccatcg atgatcgga tggaatatcc gggaattcat	900



gaaactactt acaactcaat catgaaatgt gatgtggata tcaggaagga tctttatgga 960  
aacattgtgc ttagtggtgg caccacaatg ttcgatggga ttggtgatag gatgagtaaa 1020  
gagatcacag cgttggctcc aagcagtatg aacatcaaag tgggtggctcc accggaaagg 1080  
aagtacagtg tctggatcgg tggctctatc ttggcttccc tcagtacttt ccagcaggta 1140  
aattacttac tatacttaat acataaagtc tattagtgat ttgatgtata aagtgttaca 1200  
aaaatgtgtt ccaaatttgc agatgtggat tgcgaaagcg gagtatgatg aatctggacc 1260  
gtcaatcgtc cacaggaagt gcttctgata aaaagtcacc aagtaaaaca agagcggtaa 1320  
aaattttgat atcagttttt caccctgaag ccagttgcta taattactca caacttctct 1380  
atttgtgttc ttttattctt gtccctcggt gtccatttta atctcttttt tgcaacaaag 1440  
caacttaaaa aaacagagca gtcattaaca gaatgttatt attatatata tgtatacata 1500  
ttagtataca ccattattt cattaaaaca tttatcatat aaggatagga ttctatacat 1560  
cgatatattt attttgttga cactattcag cacatgctta tgtcttatct tgtagtata 1620  
tgtaaccaa gacaaataat agatgctaca aattgttttc tttgaagcaa aaatttcaat 1680  
cttaaaattg tttttttcca gggtacacaa aaaaaacttg tagtttgtaa attttctata 1740  
caattttggg gatctcaaca agaacatgaa cttcaacttc tagtcatatg acgacctgag 1800  
tctgcgcggc tgtgaatctc tttgctgcag taaatgttta caagtgggtg gttaaattggt 1860  
actgattcaa aagctttaag aaatctacac atttcgtgaa attatttagc agacttgata 1920  
ttaaaaatct aggataaaat gactatccaa agacaaatag gactgtttca catgttcccc 1980  
tgattcttgt agctcataac tcatcagcag ttaacttttc tacctcatac acgctcgcaa 2040  
tncgtttgga attatcagct ntaatttttc taattctttg gaaattatta gcagctcgat 2100  
caaatggggc atggcttctt cttctatctg caactcatct aaactttcca tgaagaaaca 2160  
aagct 2165

<210> 2  
<211> 423  
<212> PRT  
<213> Unknown  
<220>  
<223> Describes a predicted protein sequence

<220>  
 <221> site  
 <222> (1)...(423)  
 <223> A stop codon is predicted at all XAA locations  
  
 <400> 2

Xaa	Arg	Phe	Phe	Arg	Ala	Leu	Xaa	Ala	Val	Leu	Ala	Thr	Pro	Val	Xaa	1	5	10	15
Trp	Leu	Gly	Trp	Asp	Lys	Arg	Met	Leu	Met	Leu	Glu	Thr	Arg	Leu	Asn	20	25	30	
Gln	Asn	Val	Val	Ser	Xaa	Leu	Xaa	Ser	Thr	Gln	Leu	Ser	Met	Glu	Leu	35	40	45	
Leu	Ile	Ile	Gly	Met	Thr	Trp	Arg	Arg	Phe	Gly	Ile	Thr	Leu	Ser	Thr	50	55	60	
Met	Ser	Phe	Val	Leu	Pro	Leu	Lys	Asn	Ile	Arg	Xaa	Leu	Thr	Glu	Ala	65	70	75	80
Pro	Leu	Asn	Pro	Lys	Ala	Asn	Arg	Glu	Lys	Met	Thr	Gln	Ile	Met	Phe	85	90	95	
Glu	Thr	Phe	Asn	Thr	Pro	Ala	Met	Tyr	Val	Ala	Ile	Gln	Ala	Val	Leu	100	105	110	
Ser	Leu	Tyr	Ala	Ser	Gly	Arg	Thr	Thr	Gly	Gln	Tyr	Ile	Thr	Thr	Phe	115	120	125	
Phe	Leu	Tyr	Arg	Xaa	Ser	Gly	Asp	Gly	Val	Ser	His	Thr	Val	Pro	Ile	130	135	140	
Tyr	Glu	Gly	Tyr	Ala	Leu	Pro	His	Ala	Ile	Leu	Arg	Leu	Asp	Leu	Ala	145	150	155	160
Gly	Arg	Asp	Leu	Thr	Asp	His	Leu	Met	Lys	Ile	Leu	Thr	Glu	Arg	Gly	165	170	175	
Tyr	Ser	Phe	Thr	Thr	Thr	Ala	Glu	Arg	Glu	Ile	Val	Arg	Asp	Met	Lys	180	185	190	
Glu	Lys	Leu	Ser	Tyr	Ile	Ala	Leu	Asp	Phe	Glu	Gln	Glu	Leu	Glu	Thr	195	200	205	
Ser	Lys	Thr	Ser	Ser	Ser	Val	Glu	Lys	Ser	Phe	Glu	Leu	Pro	Asp	Gly	210	215	220	
Gln	Val	Ile	Thr	Ile	Gly	Ala	Glu	Arg	Phe	Arg	Cys	Pro	Glu	Val	Leu	225	230	235	240
Phe	Gln	Pro	Ser	Met	Ile	Gly	Met	Glu	Asn	Pro	Gly	Ile	His	Glu	Thr	245	250	255	

Thr Tyr Asn Ser Ile Met Lys Cys Asp Val Asp Ile Arg Lys Asp Leu  
 260 265 270

Tyr Gly Asn Ile Val Leu Ser Gly Gly Thr Thr Met Phe Asp Gly Ile  
 275 280 285

Gly Asp Arg Met Ser Lys Glu Ile Thr Ala Leu Ala Pro Ser Ser Met  
 290 295 300

Lys Ile Lys Val Val Ala Pro Pro Glu Arg Lys Tyr Ser Val Trp Ile  
 305 310 315 320

Gly Gly Ser Ile Xaa Val Pro Asn Leu Gln Met Trp Ile Ala Lys Ala  
 325 330 335

Glu Tyr Xaa Asn Leu Asp Arg Gln Ser Ser Thr Gly Ser Ala Ser Asp  
 340 345 350

Gln Lys Ser Pro Ser Lys Thr Arg Ala Val Lys Ile Leu Xaa Asn Ser  
 355 360 365

Ser Ala Val Asn Phe Ser Thr Ser Tyr Thr Leu Ala Ile Arg Leu Glu  
 370 375 380

Leu Ser Ala Leu Ile Phe Leu Ile Ser Leu Glu Ile Ile Ser Ser Ser  
 385 390 395 400

Ile Lys Trp Gly Met Ala Ser Ser Ser Ile Cys Asn Ser Ser Lys Leu  
 405 410 415

Ser Met Lys Lys Gln Ser Xaa  
 420

<210> 3

<211> 422

<212> PRT

<213> Unknown

<220>

<223> Describes a predicted protein sequence

<220>

<221> site

<222> (1)...(422)

<223> A stop codon is predicted at all XAA locations

<400> 3

Xaa Arg Phe Phe Arg Ala Leu Xaa Ala Val Leu Ala Thr Pro Val Xaa  
 1 5 10 15

Trp Leu Gly Trp Asp Lys Arg Met Leu Met Leu Glu Thr Arg Leu Asn

20 25 30

Gln	Asn	Val	Val	Ser	Xaa	Leu	Xaa	Ser	Thr	Gln	Leu	Ser	Met	Glu	Leu
	35					40					45				
Leu	Ile	Ile	Gly	Met	Thr	Trp	Arg	Arg	Phe	Gly	Ile	Thr	Leu	Ser	Thr
	50					55					60				
Met	Ser	Phe	Val	Leu	Pro	Leu	Lys	Asn	Ile	Arg	Xaa	Leu	Thr	Glu	Ala
65					70					75					80
Pro	Leu	Asn	Pro	Lys	Ala	Asn	Arg	Glu	Lys	Met	Thr	Gln	Ile	Met	Phe
				85					90					95	
Glu	Thr	Phe	Asn	Thr	Pro	Ala	Met	Tyr	Val	Ala	Ile	Gln	Ala	Val	Leu
			100					105					110		
Ser	Leu	Tyr	Ala	Ser	Gly	Arg	Thr	Thr	Gly	Gln	Tyr	Ile	Thr	Thr	Phe
		115					120					125			
Phe	Leu	Tyr	Arg	Xaa	Ser	Gly	Asp	Gly	Val	Ser	His	Thr	Val	Pro	Ile
	130					135					140				
Tyr	Glu	Gly	Tyr	Ala	Leu	Pro	His	Ala	Ile	Leu	Arg	Leu	Asp	Leu	Ala
145					150					155					160
Gly	Arg	Asp	Leu	Thr	Asp	His	Leu	Met	Lys	Ile	Leu	Thr	Glu	Arg	Gly
			165						170					175	
Tyr	Ser	Phe	Thr	Thr	Thr	Ala	Glu	Arg	Glu	Ile	Val	Arg	Asp	Met	Lys
		180						185					190		
Glu	Lys	Leu	Ser	Tyr	Ile	Ala	Leu	Asp	Phe	Glu	Gln	Glu	Leu	Glu	Thr
	195						200					205			
Ser	Lys	Thr	Ser	Ser	Ser	Val	Glu	Lys	Ser	Phe	Glu	Leu	Pro	Asp	Gly
	210					215					220				
Gln	Val	Ile	Thr	Ile	Gly	Ala	Glu	Arg	Phe	Arg	Cys	Pro	Glu	Val	Leu
225					230					235					240
Phe	Gln	Pro	Ser	Met	Ile	Gly	Met	Glu	Asn	Pro	Gly	Ile	His	Glu	Thr
			245						250					255	
Thr	Tyr	Asn	Ser	Ile	Met	Lys	Cys	Asp	Val	Asp	Ile	Arg	Lys	Asp	Leu
		260						265					270		
Tyr	Gly	Asn	Ile	Val	Leu	Ser	Gly	Gly	Thr	Thr	Met	Phe	Asp	Gly	Ile
	275						280					285			
Gly	Asp	Arg	Met	Ser	Lys	Glu	Ile	Thr	Ala	Leu	Ala	Pro	Ser	Ser	Met
	290					295					300				
Lys	Ile	Lys	Val	Val	Ala	Pro	Pro	Glu	Arg	Lys	Tyr	Ser	Val	Trp	Ile



Thr Glu Arg Gly Tyr Ser Phe Thr Thr Thr Ala Glu Arg Glu Ile Val  
 115 120 125

Arg Asp Met Lys Glu Lys Leu Ser Tyr Ile Ala Leu Asp Phe Glu Gln  
 130 135 140

Glu Leu Glu Thr Ser Lys Thr Ser Ser Ser Val Glu Lys Ser Phe Glu  
 145 150 155 160

Leu Pro Asp Gly Gln Val Ile Thr Ile Gly Ala Glu Arg Phe Arg Cys  
 165 170 175

Pro Glu Val Leu Phe Gln Pro Ser Met Ile Gly Met Glu Asn Pro Gly  
 180 185 190

Ile His Glu Thr Thr Tyr Asn Ser Ile Met Lys Cys Asp Val Asp Ile  
 195 200 205

Arg Lys Asp Leu Tyr Gly Asn Ile Val Leu Ser Gly Gly Thr Thr Met  
 210 215 220

Phe Gly Gly Ile Gly Asp Arg Met Ser Lys Glu Ile Thr Ala Leu Ala  
 225 230 235 240

Pro Ser Ser Met Lys Ile Lys Val Val Ala Pro Pro Glu Arg Lys Tyr  
 245 250 255

Ser Val Trp Ile Gly Gly Ser Ile Leu Ala Ser Leu Ser Thr Phe Gln  
 260 265 270

Gln Met Gln Met Trp Ile Ala Lys Ala Glu Tyr Asp Glu Ser Gly Pro  
 275 280 285

Ser Ile Val His Arg Lys Cys Phe  
 290 295